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ABSTRACT

Prepared under contract with the International Council on Archives (ICA), this study reviews expanded applications of archival research, the growing popular demand for information, and the resultant effect on the role of archives and archivists, especially in terms of access to records. Following an introductory discussion of the concept and role of archives, the approach to the access problem in the ICA is reviewed; prerequisites and criteria for access are considered; and a report is presented on a 1985 study of the archives of the United Nations (UN) system which measured the existence/lack of administrative instructions, levels and degrees of record classification/declassification, and regulations for access to records/archives. In addition, a tabulation of survey results is provided and conclusions and guidelines for increased accessibility to UN system archives are presented. The text is supplemented by 4 tables and 2 figures, and 43 notes and a 31-item bibliography are provided. Four appendices include: UN administrative instructions for archives; excerpts providing resolutions, recommendations, and wishes of four international congresses on archives; a listing of UN staff members who responded to the survey questionnaires; and a glossary of archival terminology. A 55-item bibliography of RAMP (Records and Archives Management Programs) and related documents is also provided. (KM)

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ACCESS TO THE ARCHIVES OF UNITED NATIONS AGENCIES: A RAMP STUDY WITH GUIDELINES

prepared by
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PREFACE

In order to assist in meeting the needs of Member States, particularly developing countries, in the specialized areas of archives administration and records management, the Division of the General Information Programme has developed a long-term Records and Archives Management Programme - RAMP.

The basic elements of RAMP reflect and contribute to the overall themes of the General Information Programme. RAMP thus includes projects, studies and other activities intended to :

- develop standards, rules, methods and other normative tools for the processing and transfer of specialized information and the creation of compatible information systems;

- enable developing countries to set up their own data bases and to have access to those now in existence throughout the world, so as to increase the exchange and flow of information through the application of modern technologies;

- promote the development of specialized regional information networks;

- contribute to the harmonious development of compatible international information services and systems;

- set up national information systems and improve the various components of these systems;

- formulate development policies and plans in this field;

- train information specialists and users and develop the national and regional potential for education and training in the information sciences, library science and archives administration.

This study, prepared under contract with the International Council on Archives, (ICA), reviews expanded applications of archival research, growing popular demand for information and the resultant effect on the role of archives and archivists, specifically in terms of access to records. Various forums, particularly those under the aegis of ICA, have advanced the concept of broadened access, and, because of its international character and function as a role model, the United Nations System's position on this matter is particularly important.

...

The author's definition of access includes the availability and quality of records. Records that are alienated, unarranged, swamped in ephemera, damaged or lacking finding aids, are as inaccessible as those covered by institutional restrictions.

Responses from several international organizations showed wide disparities in the management of their records and archives in terms of governing regulations, access, classification guidelines, restriction periods, retention scheduling, archival services and finding aids. The study recommends that these organizations harmonize and develop such areas in order to promote legitimate historical inquiry and realistic conclusions regarding accomplishments and failures of the United Nations through increased availability of archival sources. Strengthening of the records management function, professional archival staff and preservation programmes would also enhance this trend, as would the more controversial centralization of all archives within the United Nations into one or two repositories.

Appendices incorporating sample administrative instructions on archives from a number of international organizations and ICA resolutions serve as useful reference materials.

Comments and suggestions regarding this study are welcomed and should be addressed to the Division of the General Information Programme, UNESCO, 7 Place de Fontenoy, 75007 Paris. Other studies prepared under the RAMP programme may also be obtained at the same address.

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TABLE OF CONTENTS

		Page
1.	INTRODUCTION	1
2.	APPROACH TO THE ACCESS PROBLEM IN THE INTERNATIONAL COUNCIL ON ARCHIVES	5
2.1.	Access to Archives in General	6
2.2.	The Access Problem at International Organizations	9
3.	PREREQUISITES AND CRITERIA ON ACCESS	12
3.1.	Short Terminology	12
3.2.	Access and Records Management	13
3.3.	Other Important Considerations	15
4.	SURVEY OF THE ARCHIVES OF THE UNITED NATIONS SYSTEM	17
4.1.	Methodology	17
4.2.	General Remarks	20
4.3.	Promoting Archives of UN Agencies	22
4.4.	New Interest in Archives within the UN System	23
4.5.	Findings	24
5.	TABULATION OF SURVEY	33
6.	CONCLUSIONS AND GUIDELINES	42
6.1.	The Background	43
6.2.	The State of Affairs	44
6.3.	Diversity in Access	47
6.3.1.	The United Nations Archives	47
6.3.2.	UNESCO Archives	48
6.3.3.	UNICEF Records and Archives	50
6.3.4.	WHO Archives	50
6.3.5.	IMF Archives	51
6.3.6.	Overview	52

Page

6.4. The Concept of Inviolability 52
6.5. Towards Change 55
6.6. Centralization of the UN System Archives.. 59

NOTES 62

BIBLIOGRAPHY 68

APPENDIX A: Administrative Instructions on Archives... 72

APPENDIX B: Resolutions, Recommendations and Wishes of International Congresses on Archives... 94

APPENDIX C: United Nations Staff Who Answered Questionnaires..... 99

APPENDIX D: Archival Terminology 100

1. INTRODUCTION

Archives have existed as long as the assertion of power and the definition of rights have been expressed in written form, whether on clay, papyrus, paper or other medium. We are aware of archives in civilizations as ancient and different as those of Pharaonic Egypt, India, China and Greece.

In the beginning, archives were only of legal and constitutional value and importance, preserved to demonstrate and protect the rights of their owner: the State, the City, the monastery, or a private person. The role of the archivist was to serve the owner of the archives and his needs for secure and prompt access to documentation of his position. Evidential value was important, rather than the possibility of being used as sources for historical research.

This conception of archives meant a restrictive attitude towards other potential users. Researchers received permission for access to archives, but only when they had been officially commissioned to write about historical events, and, in such cases, they were instructed on what to write,

how to do so, and to keep the intentions of the commissioner in mind.

Attitudinal changes that gradually opened the archives for researchers occurred during the 18th century. In 1762, Jean Jacques Rosseau's Du contrat social asserted that people have the right to control those who govern them. his led Voltaire to declare that people have the right to criticize and, therefore, the right to knowledge. During the French Revolution, these new ideas were expressed in the first law on archives: the Declaration of Archival Rights of 25 June 1794, which proclaimed that the citizens would have free access to archives belonging to the Nation. This democratic right did not live long in France, or elsewhere, and perhaps its full spirit exists only in Sweden and a few other western democracies./[1]

The conception and role of archives changed further during the course of the 19th century, due largely to the increasingly transitory nature of documents' legality. National archives established in many countries began more and more to preserve documents that were interesting from an historical point of view, rather than of a purely legal or constitutional value, causing historical researchers to use the archives.

However, such access is generally a right reserved to scholars researching the past. Others rarely enjoy the use

of archives for the purpose of gathering information on recent or current governmental or administrative procedures or events.

In many countries, rules and regulations restrict the use of archives, but the gradual widening of spheres of interest among scholars and other users, in addition to the emergence of the right to information in the 1960's, has created new demands for accessibility. The issue no longer rests on the scholar's right to archival access for purposes of research, but on new demands emanating from citizens' claims to information as a democratic right. As a consequence, we are on the threshold of new rules and regulations that will liberate access. Some societies have already complied with these demands, but the great majority have not yet taken this step. Sooner or later this development will have repercussions among the United Nations system of organizations, a primary reason for this study.

Times have also been changing for archivists. Once administrators with a background in legal studies, servicing and promoting historical research, they are becoming a medium that receives, preserves, arranges, describes and communicates information of different kinds. At present, the archives profession is specialized, but multi-faceted, and intimately related to the enormous growth of modern administration and the resultant records that have created a need for early appraisal in order to save expensive space.

In a sense, today's archivist has a double function: to serve both the administration that produced the records and the public seeking information. In the long view, the allegiance of the archivist of our times is neither to the administration nor to the researcher; his responsabilities belong to the archives he holds in his custody for generations to come. He is the ombudsman of the records and archives for the future.

Bearing in mind all the previous considerations and developments and the fact that the United Nations System has had, and continues to have, an influential role in shaping our world, both in the field of international relations and the impact of resources allocated to relief and development, the question of accessibility to the records/archives of the international organizations is of primordial importance. These sources of information are essential to the writing of much contemporary history and in the description of human activities around our planet.

2. APPROACH TO THE ACCESS PROBLEM IN THE INTERNATIONAL COUNCIL ON ARCHIVES

The Constitution of the International Council on Archives (ICA) states in Article 2 that one of the general objectives of the organization is "to facilitate a more frequent use of archives and the effective and impartial study of the documents they contain by making their content more widely known and by encouraging greater freedom of access."[2]

In 1948 the General Assembly of the United Nations adopted the Universal Declaration on Human Rights, which, among other things, set out the right to seek, receive and impart information and ideas. This right was open to examination in UNESCO from the very beginning and continues to be the center of controversy. On the other hand, the principle of the free-flow of information was approved at the United Nations Conference on Freedom of Information held, from 25 March to 21 April 1948, in Geneva. Since then one issue in discussion has been access to, and participation in, information.

On the topic of access to archives, the members of ICA have, at many meetings throughout the years, considered the liberalization of restrictions, seeking harmony and conformity with the goals of UNESCO. Many recommendations have been adopted and transmitted to Governments and others, calling for the removal of obstacles preventing public access and the facilitation of archival research. Certainly, in the world of archives there has been considerable change in recent years, but such progress does not mean that the achievements are complete. The way to "greater freedom of access" is still hindered, and new resolutions, recommendations, suggestions and measures must be taken.

2.1. Access to Archives in General

At ICA's congresses and meetings, the philosophical approach to the question of access to archives has shifted and widened, reflecting the public debate on the right to information. However the rationale has always been the same and is aimed to effect a coherent and worldwide body of laws, rules and regulations.

The Extraordinary Congress held in Washington in 1966 expressed "the wish that responsible archival authorities strive to obtain substantial liberalization of the rules of access" and asked for a reduction in periods of closed access. No specific time limits were set, although reference was made to the new needs "of contemporary historical, economic and social sciences." At the same time the Congress

proposed the investigation of an International Reader's Card, so "researchers, irrespective of nationality, should everywhere be accorded equal and easy facilities for access to archives."[3]

In Madrid, two years later, the Sixth ICA Congress adopted resolutions based on the report of the Working Group on Liberalization, which presented in more specific terms some ideas in "the area of restrictions and delays in access" to archives. As a result, national archival administrations were asked to study, in-depth, access regulations and to propose relaxations "with the object of adapting the system of archival access to the needs of schorlaly research."[4]

This 1968 Congress issued a series of recommendations. First, the period of closure should "not exceed 30 years between origin and access, with defined reservations when necessary" in those countries where restrictions were applied. Longer, but realistic, closed periods were accepted in specific instances with the stipulation that they "in no case should exceed 80 years." National archival administrations were simultaneously requested to open "specified documentary categories" for consultation before expiration of the time limit and to provide for exceptions to the restrictions "in individual cases."[5]

Again, in Washington in 1976, the Eight ICA Congress made reference to "liberalization of access to archives for

scholarly purposes" and reported progress in this matter. It is interesting to note that, at this point, the Congress talked also about "international concordance in the modes of access to archives" and advised "that the national archival administrations harmonize their access rules with those of other countries."/[6]

But at that time something new was already coming into focus, demonstrating further complications in the problem of archival access: the explosive growth of records, accelerating after World War II, and the use of electronic media for administrative purposes. In many nations, a public debate on this matter arose in the mid-70's. Aware of the implications, archivists began to take measures. A series of national regulations has been adopted in a considerable number of countries, but loopholes and the impossibility of foreseeing the consequences of fast developing technologies have made it a very complex field.

In 1980, the ICA London Congress took up the concern and pondered the nature of the problem. It adopted following recommendation:

> In view of new orientations in historical research and the increasing demand thus created for access to detailed records concerning individuals, bearing in mind the necessity of preventing uncontrolled access to information relating to individuals, the Congress expresses the wish that the statutory and regulatory provisions of each country are such as to ensure the safekeeping in all fields of the documentary basis of research in

all fields of the documentary basis of research in social sciencies and in particular in history.

This Ninth ICA Congress also decided that national archival institutions should adapt finding aids and reference services to "the rapid evolution of the study of contemporary history" and advance the professional training of archivists./[7]

2.2. The Access Problem at International Organizations

ICA has discussed the archives of the international organizations on two occasions. In 1961, during the VIth International Conference of the Round Table on Archives in Warsaw, one short session was devoted to this very subject. It was mentioned that there were some 1,200 NGOs (non-governmental organizations) and hundreds of other organizations,/[8] and that measures should be taken to ensure the administration of their archives "according to norms used for State archives." A questionnaire was sent to the organizations in the UN System, to which the International Labour Organization, the International Bank for Reconstruction and Development, UNESCO and the UN Secretariat responded. Delegates from the last two organizations were present at the meeting.

During the course of discussion, the American archivist, Dr. Ernst Posner, referred to "the great idea introduced by Dr. Solon Buck in 1945: to make of the UN Archives the centre of all archives of the international organizations." The French archivist, Robert-Henri Bautier, thought that "a concrete solution could be to deposit the UN old archives and those of their specialized agencies, as well as the ar-

chives of all defunct organizations and eventually also of the NGOs, in two different deposits: one at the UN Secretariat (in New York) and the another at the UN Office in Geneva."/[9]

This Warsaw meeting adopted a recommendation regarding the archives of international organizations. The Executive Bureau of ICA was asked to study the working problems of the archives of the international organizations and the "destiny of their files." It was also to investigate appropiate solutions and take all necessary steps to make the international organizations "respect the basic principles of archives administration and the interests of historical, legal and sociological studies."/[10]

Ten years later, in 1971, there was another meeting on the same subject: the XIIIth International Conference of the Round Table on Archives held in Bonn, West Germany. The scope of inquiry was originally directed only toward organizations of the UN System, and twelve organizations replied a questionnaire, among them the Food and Agriculture Organization (FAO), General Agreement on Tariffs and Trade (GATT), International Bank for Development and Reconstruction (IBDR), International Labour Organization (ILO), International Monetary Fund (IMF), International Telecommunications Union (ITU), United Nations Secretariat (UN), United Nations Educational, Scientific and Cultural Organization (UNESCO), and the League of Nations archives in Geneva. Some of the findings relating to the accessibility of their archives are

still valid./[11] The questionnaire regarding overall features of archives was also submitted to inter-governmental organizations.

3. PREREQUISITES AND CRITERIA ON ACCESS

For the purpose of this study, some concepts and terms of special importance must be defined beyond its general usage.

3.1. Short Terminology

The availability of records/archives for consultation, as a result of both legal authorization and the existence of finding aids, is called synonymously access and accessibility.

Document is rarely used because, in most international organizations, this word signifies all kinds of official productions and/or publications, such as documents mimeographed or printed for sale./[12]

Records are recorded information, regardless of the form or medium created, received and maintained by an organization in pursuance of its legal obligations or in transaction of its business.

The single term archives is used to refer to the non-current records preserved by the organization responsible for their creation, or its sucessor, because of continuing administrative, fiscal, legal, evidential and/or informational value.

The combination term, records/archives, is used in this study because the records offices in many of the international organizations and specialized agencies of the United Nations maintain and service any combination of current, non-current and archival records, so that there is no clear division in records management and archival functions.

A more extensive list of terminology used in this survey is found at the end of the appendixes.

3.2. Access and Records Management

When designing the survey for this study, special attention was given to access as a concept that reflects professional skills involved in records and archives management, and to the degree that accessibility is dependent on the existence of rules and regulations. The general profile of access policy in international organizations that emerged from the survey generated certain guidelines and remedies.

The first and optimal condition for access to archives is a well-functioning records management system. Without

such a system, records will not be created and controled rationally, and access will be a superfluous issue.

It is widely recognized that proper management of records permits liberalization of access. Moreover, appropriate scheduling of records is necessary to control their life in the offices and departments of a given organization. Ideally, records having no further administrative use should be transferred to a records/archives depository, as they should be appraised and disposed of while under the control of records/archives officers, rather than that of the originating offices. During the transitional period of storage prior to appraisal, transfer lists with retention periods can serve also as finding aids.

When records stay too long in the custody of a busy office or department, they risk unplanned weeding and destruction by administrators, due to shortage of space. Therefore, schedules with retention periods and transfer of records to the records/archives service prevent their accumlulation without control./[13] The absence of disposition and retention schedules leads to unauthorized destruction. Consequently, there is no doubt that the lengthy maintenance of records/archives in administrative offices contribute to the problem of access to archives./[14]

Access is meaningless to users if the records are not culled of ephemeral material, and then arranged and described.

Personnel is needed, --both professional archivists and support staff--, to make the content of archives available to the public, through the creation of descriptive finding aids, inventories, indexes and other descriptors. Besides these facts, a records/archives service must also pay attention to the condition of their holdings in terms of climate control, insect infestation or substandard quality paper, as such factors retard access. A repair shop and/or microform equipment are necessary to help alleviate the negative consequences of such conditions.

3.3. Other Important Considerations

From a legal perspective, the international organizations of the United Nations System are the owners of the records and archives which they have created and keep in originating offices and/or archives repositories. Ownership applies also to archives of defunct international organizations that have been assumed by, or transferred to, successor organizations.

Records of former UN officials have sometimes gone astray, and are now in the custody of private persons or national and other archival repositories. These records are the property of the international organizations. The agencies of the United Nations System have not normally claimed replevin in many cases of allienation, although the UN Archives were able to reclaim and get back the records of former Secretary-General U Thant. As the issue of ownership bears on the legal right of international organizations to decide upon

access to their archives and restrictions on their use, the questionnaire referred to the inviolability or inalienability of records/archives.

Access to archives is related to legal and practical considerations. For the international organizations, factors affecting the imposition of restrictions include the following:

> security:
> the need to safeguard confidential negotiations on conflicts, disarmament, military affairs; multi- and bilateral economic relations and development; industrial and commercial interests and secrets; and, so on.
>
> personal rights:
> the individual's entitlement to privacy.

Problems of access to such material can be resolved, although it is a time-consuming task to screen all records/archives, decide their character and impose restrictions on their use, as necessary./[15]

Finally, certain criteria are invoked when considering researcher applications to consult records/archives. Decisions involve how and to what extent access should be given. Thus, the determination is sometimes based on considerations such as: the purpose of the research; the competence of the researcher; and the intrinsic value of the research./[16]

4. SURVEY OF THE ARCHIVES OF THE UN SYSTEM

This study presents the main findings of research conducted on current rules, regulations and procedures governing access to records and archives of United Nations agencies. The research undertaken was designed to:

-- measure the existence/lack of administrative instructions;
-- measure levels and degrees of record classification/declassification; and,
-- measure regulations on access to records/archives.

4.1. Methodology

The research was carried out by means of a survey involving 34 organizations of the United Nations System, each of which received a three-page questionnaire on various subjects. The questionnaire was sent to the following organizations in October 1985, with a requested completion date of 24 January 1986:

- Addis Ababa: United Nations Economic Commission for Africa (UNECA).
- Geneva: General Agreement on Tariffs and Trade (GATT),
  International Bureau of Education (IBE),
  International Institute for Labour Studies (IILS),

International Labour Organization (ILO),

International Telecommunications Union (ITU),

International Trade Centre UNCTAD/GATT (ITC),

Office of the United Nations Disaster Relief Co-ordinator (UNDRO),

Office of the United Nations High Commissioner for Refugees (UNHCR),

United Nations Conference on Trade and Development (UNCTAD),

United Nations Library at Geneva - League of Nations Archives and Historical Collection Section,

United Nations Office at Geneva (UNOG),

United Nations Research Institute for Social Development (UNRISD),

Universal Postal Union (UPU),

World Health Organization (WHO),

World Intellectual Property Organization (WIPO),

World Metereological Organization (WMO).

- The Hague: International Court of Justice (ICJ).

- London: Inter-governmental Maritime Consultative Organization (IMCO).

- Lyon: International Agency for Research on Cancer (IARC).

- Montreal: International Civil Aviation Organization (ICAO).

- Nairobi: United Naations Environment Programme (UNEP).

- New York: United Nations Children's Fund (UNICEF),

United Nations Development Programme (UNDP),

United Nations Institute for Training and Research (UNITAR),

United Nations Secretariat.

- Paris: United Nations Educational, Scientific and Cultural Organization (UNESCO).

- Rome: Food and Agriculture Organization of the United Nartions (FAO).

- Turin: International Centre for Advanced Technical and Vocational Training.

- Vienna: International Atomic Energy Agency (IAEA),

United Nations Industrial Development Organization (UNIDO).

- Washington: International Monetary Fund (IMF),

Pan American Health Organization (PAHO),

World Bank Group.

The questionnaire consisted of 11 main questions having 29 secondary components. The organizations were also asked to submit the texts of administrative instructions and other relevant material regarding their records/archives operations and to give special and general commentaries on various aspects of the survey.

Of the above mentioned 34 international organizations, only 14 responded the questionnaire, some more completely than others: FAO, GATT, IMF, PAHO, UN, UNDP, UNDRO, UNECA, UNESCO, UNHCR, UNICEF, UNIDO, UNOG and WHO. The following three organizations also returned the questionnaire, although their replies were almost nil. The International Bureau of Education (IBE), an independent institution from 1925 to 1968, became an UNESCO agency in 1969. Its archives are in great disorder in a basement. This situation was originally caused by a change of premises, but, at present, UNESCO has been consulted and is providing advice. The response of the International Court of Justice (ICJ) briefly expressed its view on the survey and the question of access. It indicated that "the archives of the Court are not open to anyone outside the Court and the Registry." Finally, the Inter-governmental Maritime Consultative Organization (IMC) returned an almost blank questionnaire.

4.2. General Remarks

The primary value of the records/archives of the UN agencies is both legal and administrative. Negotiations, agreements and other diplomatic activities concerning Member States of equal status are involved, so that regulations concerning accessibility to archives must take into account more than what a single State might consider in legislating access to archives preserved in its national institutions. It is therefore possible that UN Member States prefer a lengthy lapse of time before records concerning conflicts, controversies and other exchanges are analyzed by outside researchers or consulted by another users.

For that reason, it is understandable that international organizations have tended to restrict access to their archives. Many delicate situations and conditions of inter-governmental nature must always be taken into consideration. Furthermore, in most of these organizations there is no harmony in the definition of non-accessible and restricted (classified) archives. As a consequence, the terms are undefined, and there is room for subjective interpretation and solutions./[17]

The Administration of each international organization has different aims and goals that are reflected in the records produced and accumlated. But there is a common base for realistic harmonization, because the records created are to some extent similar, due to their common institutional character and purpose./[18] These international organizations

pass resolutions and recommendations; initiate studies; receive, prepare and consider reports; supervise and monitor the execution of agreements and programs; give technical assistance and maintain contacts with other UN agencies, Member States, non-governmental and private organizations.

However, it must be recognized that the records/archives of international organizations are complex and difficult to understand because of variance of languages and because of diverse background of the administrators and other professional personnel that produce them. This staff of international organizations come from all Member States and all kinds of bureaucracies and represent very different educational and professional experience. Moreover, some officers tend to think that the records they are working with are "their own", and not those of the organization; therefore, they may feel free to remove their records upon retirement or repatriation. As a result, many countries have repositories holding UN archives, i.e., they contain alienated records.

The alienation of these records is not only regrettable per se, but an actual loss and the drainage of archives has potential risks for the principle of accessibility. Non-UN institutions having custody of archives belonging to the United Nations can unilaterally impose access regulations more or less strict than the organization that suffered the loss. In other words, UN organizations that produced

the records have no control over who is given permission to consult archives lawfully belonging to them./[19]

Also worthy of note is the fact that archives services in UN organizations are not standardized and their systems differ from one organization to another. The composition of each reflects the structure of its parent agency and the importance that the latter attributes to the archives and its functions. Accordingly, there is no global approach to archives within the United Nations System. In addition, these services are usually attached to administrative offices or departments. For instance, the United Nations Archives is subordinated to the Under-Secretary-General for Administration and Management; UNICEF Records and Archives are under the Division of Management Organization and Administration; and the UNESCO Archives falls under the Assistant Director for Administration.

4.3. Promoting Archives of UN Agencies

During the last few decades, a series of measures have been taken to promote the safeguarding of archives of the international organizations and to acknowledge their usefulness in the study of the evolution of modern society.

The International Council on Archives (ICA) and UNESCO collaborated in the edition and publication of a Guide to the Archives of International Organizations. Its three vol-

umes give a valuable and extensive account of the archives of the United Nations System and how to seek information from them.[20] ICA also created, in 1976, a special Section for Archivists of International Organizations (SAIO), giving these archivists an annual forum for the discussion of problems and presentation of solutions pertaining the common interests and concerns. UNESCO has also been active. In October 1979, it organized a meeting at the UN Secretariat in New York dedicated to expert consultations on the development of a long-term plan for records management and archives systems and services for the international organizations. Within the frame of UNESCO's long-term Records and Archives Management Programme (RAMP), two previous studies have also dealt with policies, plans and problems concerning the situation in archives of UN agencies.[21]

4.4. New Interest in Archives within the UN System

An important breakthrough took place in 1984, when the Administrative Committee on Co-ordination (ACC), which is the highest forum for co-ordination in the UN System, issued the following:

"Decision 1984/15. Co-operation within the United Nations System in the field of archives.

The Administrative Committee on Co-ordination decided:

(a) To take note with appreciation of the statement by the Section of Archivists of International Organizations (SAIO) of the International Council on Archives

at its tenth session, as well as the recommendations made at the ninth session;

(b) To call attention to the two UNESCO texts distributed to ACC member organizations, i.e. the RAMP study on the development of records management and archives services within the United Nations agencies; the Guide to the Archives of International Organizations, Volume I, The United Nations System;

(c) To promote, particularly in the context of the Fortieth Anniversary of the United Nations, the preservation of the archives of the United Nations and the specialized agencies which constitute their institutional memory. Such archives are not only the primary source for present and future research on the United Nations and the specialized agencies, they are at the same time an essential element in the day-to-day life of the organizations."

This ACC decision is now used as an instrument to improve the archives situation all over the UN System and the Section of Archivists of International Organizations (SAIO) has taken active initiatives to encourage its implementation.

4.5. Findings

As an introduction to the survey questionnaire, the respondents were asked if their organizations had an instruction, concerning the management of records and archives in which responsabilities were defined. Of the 17 responses received, 11 indicated that their organization had rules for classification of records incorporating, to some degree, systems of records management.

Regarding access, of the 15 organizations with organized archives only five services had written rules. At the same time, three categories of possible consulters of records/archives were identified: staff from the organization in question; staff from other international organizations; and external researchers or users. The percentages for each of the following statements on access are based on all the questionnaires returned.

Table 1 % confirming or denying access to records kept in the archives. (Number of replies in brackets.)

	YES	NO
Offices within the Organization (15)	93.4	6.6
Other organizations within the UN System (13)	53.8	46.2
External researchers or users (12)	58.4	41.6

Table 1 treats access to records, while Table 2 reflects access to archival documents, since archives services of the international organizations keep both records and archival documents.

Table 2 % confirming or denying access to archival documents kept in the archives. (Number of replies in brackets.)

	YES	NO
Offices within the Organization (15)	83.3	16.7
Other organizations within the UN System (13)	60	40
External researchers or users (12)	50	50

FAO, ILO, UNESCO, UNICEF, the UN Secretariat and WHO have opened their archives to researchers and the general public on the same terms as many State institutions, and provide all necessary physical facilities: reading rooms, finding aids, microfilm services and other similar services. The organizations that have opened their archives show a great flexibility on the question of closed periods. In general, access is freely given to archives and records that were accessible at the time of their creation. Furthermore, access is given to material within an established time limit if it is not subject to restrictions and prior agreement of the relevant originating office has been obtained.

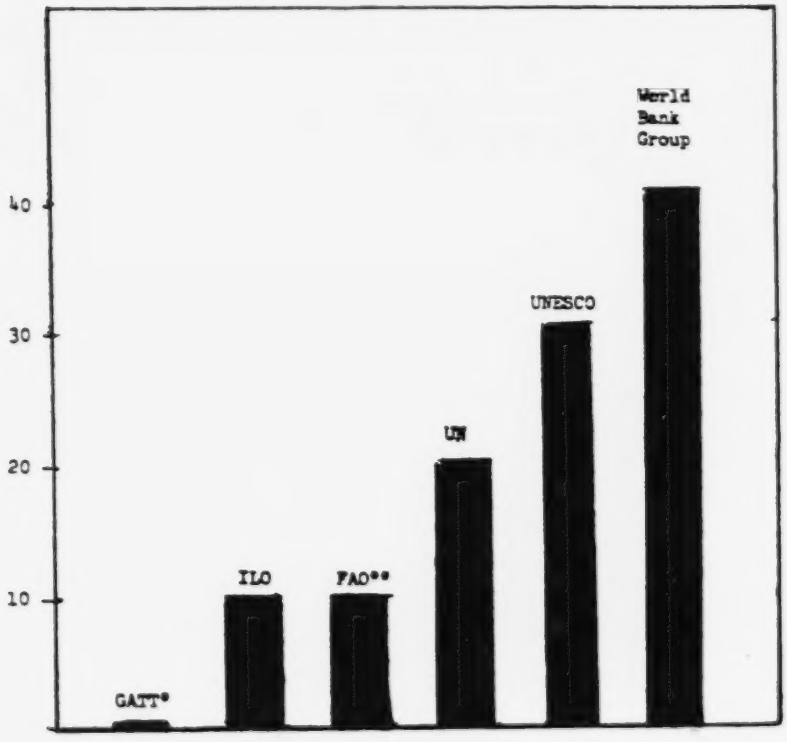
Restriction periods vary between 10 years for ILO, to 60 years for WHO, with the length of restriction depending on the degree of the files' confidentiality. For instance, most WHO records/archives are accessible after a short time

period of 10 years, although its regulations open non-confidential material after 40 years and restricted material after 60 years.

The following figure shows the variety of access to archives of international organizations:

Figure 1

Restricted period, in number of years:



* GATT Archives allows only the consultation of printed materials.

** At FAO there are no restrictions, but archives less than 10 years old are not generally accessible.

The United Nations Archives has a general access limitation of 20 years. However, some records/archives can be consulted prior to that time; "confidential" records are automatically declassified after 20 years; and "strictly confidential" records are subject to permission from the Office of the Secretary-General after 20 years. The Archives Section was established in 1946, but this was due more to recognition of administrative needs than concern for the permanent and research value of the records. The Archives Section preserves both archives of the UN and those of some predecessor agencies, as well as storing and servicing the current and semi-current records of the Secretariat./[22]

UNICEF Records and Archives follows the same time limit and regulations,/[23] while UNESCO has, at present, a 30-year rule. However, this organization is now considering a lowering of the restricted period to 20 years, in order to conform with the rule adopted by the UN Archives. It should also be noted that a time limit of 50 years is applied to certain types of archives./[24]

ILO archives less than 10 years old cannot be consulted. The organization does not open documents that, if divulged, might injure the reputation of ILO or other organizations, or that affect the privacy or endanger the safety of individuals./[25]

In addition to such rules and regulations, it should be noted that a new consciousness was revealed in the organizations in their responses regarding to the question of access to records/archives. UNDRO observed that if that agency's records "were made available to a larger number of researchers, more could be achieved in the field of disaster mitigation" and that "much of the UN-image and usefulness for the world would come from a proper organization of its information holdings. Some holding should be accessible as soon as possible -- if 20 years have to pass no institution can benefit from the knowledge available and the wheel has to be re-invented every time."/[26]

In regard to accessibility to repositories and restriction periods, the following table states when an organization was founded and if there was a predecessor -- if so, when it was established (in brackets). Access is marked as "yes", "no", "general", "bona fide", and "ad-hoc". "Yes" often means access to the archives, but the restriction period is unkown. A blank means that the information was unavailable.

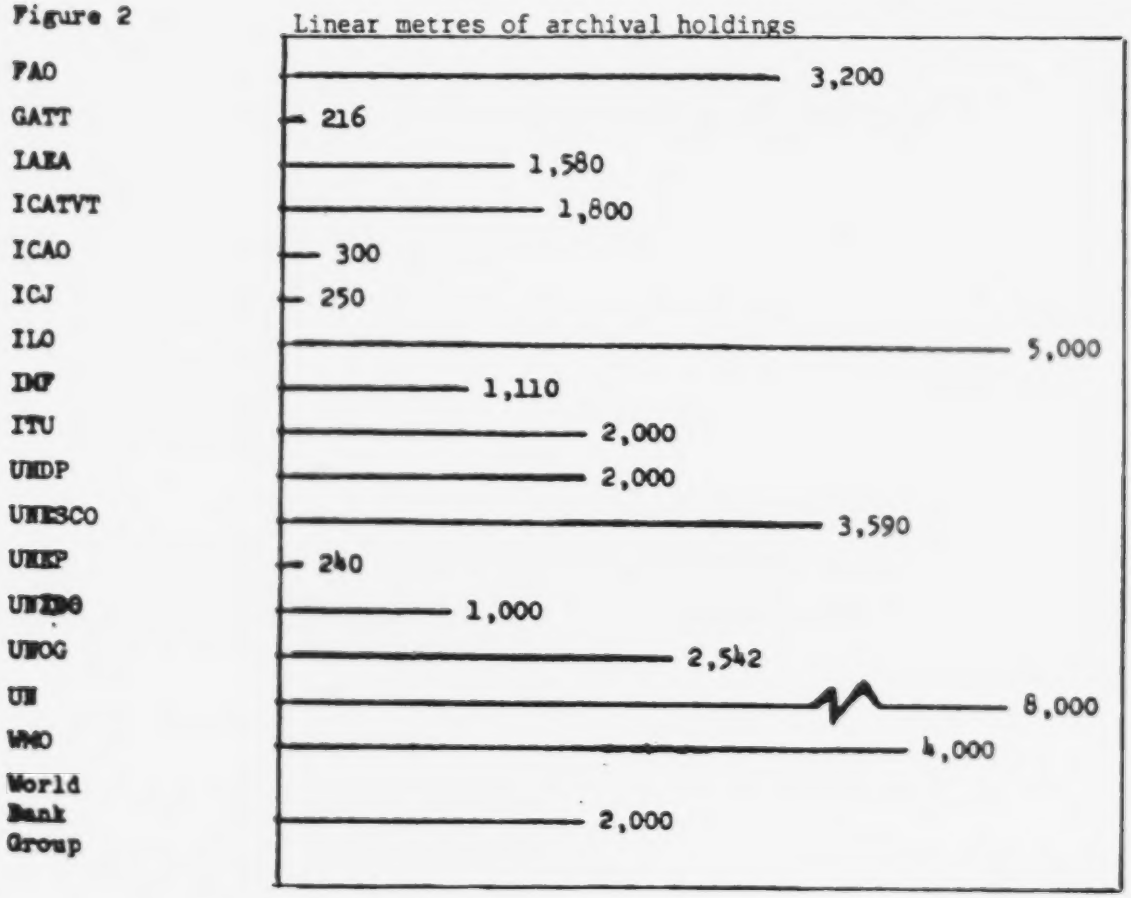
Table 3 Organization's date of establishment and that of its predecessor, where applicable. Restriction period, in years, and type of access, if any.

	Year founded	Predecessor	Time limit	Type of access
FAO	1945	(1905)	40	general
GATT	1948			only printed matters
IMCO	1958			not arisen yet
IARC	1945			bona fide
IAEA	1957			ad-hoc
IBE	1925			ad-hoc
ICATVT	1963			
ICAO	1945	(1919)		
ICJ	1920			no
IILS	1960			no
ILO	1919	(1890)	10	general
IMF	1945			no
ITU	1865		30	general
ITC (UNCTAD/GATT)	1964			
PAHO	1902			yes
UN	1945	(several)	20	general
UNCTAD	1964			yes
UNDP	1965			no
UNDRO	1971			ad-hoc
UNECA	1958			yes
UNEP	1972			no
UNESCO	1946		30	general
UNHCR	1951			no
UNICEF	1946		20	general
UNIDO	1967			no
UNITAR	1963			no
UNOG	1946		20	general
UNRISD	1964			no
UPU	1874			no
WHO	1945		40	general
WIPO	1883			no
WMO	1951			no
World Bank Group	1946		40	

Among the 33 organizations accounted for in the preceding table, 19 lack archives services (57.5%). With regard to detailed finding aids, the situation is not the best in the 14 existing archives services: only 9 have reference tools (64.3%) for the exploitation of what is in their repositories.

To some extent, the quantity of records in several of these archives is known. Figure 2 provides the total holdings in linear metres.

Figure 2



As to the disposal of records, the survey shows that eight organizations have developed schedules applicable to records in the originating offices, so that those that are non-current are destroyed *in situ*. Eleven organizations also keep disposal lists as a control tool. According to the replies, decision on disposition are generally made together by the archivist and the originating office.

Table 4 DECISION ON DISPOSITION

	BY	%
Archivists	6	35.3
Originating office	-	-
Both the archivist and the originating office	10	58.8
Originating office and other office, e.g. Legal Department	1	5.9

Finally, the survey raised the question of inviolability of records. Only seven organizations have rules on this matter. The allienation of records/archives of international organizations, due to lack of rules or their violation, has caused serious loss. This problem is analized further in this report's guidelines.

5. TABULATION OF SURVEY

To facilitate the interpretation of the collected data the following symbols have been assigned to the questionnaire responses:

x	the respondent answered yes;
-	the respondent answered no;
( )	the respondent gave no answer at all.

It should also be noted that this tabulation apply to all components of the questionnaire.

As already pointed out in the chapter, "Survey of the Archives of the United Nations System", 34 organizations were approached, of which only 14 replied to the questionnaire in a substantive way. Three other organizations answered in part only.

Question and secondary components:	FAO	GATT	IBE	ICJ	IMCO	IMF	PAHO	UN	UNDP	UNDRO	UNECA	UNESCO	UNHCR	UNICEF	UNIDO	UNOG	WHO
1. Existence of administrative instruction concerning management of records and archives, and defining responsabilities.	x	x	-	-	-	x	x	x	x	x	x	x	x	x		x	x
(a) management of records	x	x				x	x	x	x	x	x	x	x	x		x	x
(b) management of archives	x					x	x	x	x	x	-	x	x	x		x	-
(c) transfer of non-current records	x	-				x	x	x	x	x	x	x	x	x		x	x
(d) conditions for access	x	x				-	x	x	x	-	x	x	-	x		x	x
(e) retention periods	x	-				-	x	x	x	-	x	x	x	x		x	x
(f) regulations for disposals	x	-				-	x	x	x		x	x	x	x		x	x
(g) inviolability of records	x*	-				x	x*	x	x*		x	x	-	x		x	x
(h) classification of records	x	x				x	x	x	x	x	x	x	x	x		x	x
(i) declassification of records	x	-				x		x	-	-	-	x	-	x		x	x

(*) means that the organization did not submit a copy of the regulations concerning the inviolability of records.

Questions:	FAO	GATT	IBE	ICJ	IMCO	IMF	PAHO	UN	UNDP	UNDRO	UNECA	UNESCO	UNHCR	UNICEF	UNIDO	UNOG	WHO
2. Have rules for classification of records.	x	x	-	x	x	x	-	-	x	x	x	x	x	x	x		
3. Have rules for de-classification of records.	x		-	x	-	x	-	-	-	x	-	x	x	x	-		

Question:

4. Who, or which office, makes the decision on classification and declassification of records.

FAO	Director-General
GATT	Chief of Registry
IBE	
ICJ	
IMCO	
IMF	Originating office
PAHO	
UN	Originating office
UNDP	Originating office
UNDRO	Originating office/Registry
UNECA	Central Registry
UNESCO	Originating office
UNHCR	Records Management Service
UNICEF	Originating office/Record Management Unit
UNIDO	
UNOG	Director-General
WHO	Registry

	FAO	GATT	IBE	ICJ	IMCO	IMF	PAHO	UN	UNDP	UNDRO	UNECA	UNESCO	UNHCR	UNICEF	UNIDO	UNOG	WHO
Question and secondary components:																	
5. Have written rules/regulations concerning access to...																	
(a) records preserved in the archives	x	-		-	-	x	x	x	x	x	x	-	x		x	x	
(b) records kept by the originating office	x	-		-	-	x	x	x	x	x	x	-	x		x	x	
(c) archival documents preserved in the archives	x	-		-	-	x	x	x	x	x	x	-	x		x	x	

Question:

6. Who, or which office, has signed the regulations on access to the records/archives.

FAO	Records and Archives Unit
GATT	
IBE	
ICJ	
IMCO	
IMF	
PAHO	Chief of Administration
UN	Under-Secretary-General for Administration and Management
UNDP	
UNDRO	The Director
UNECA	(follow UN regulations)
UNESCO	Assistant Director for Administration
UNHCR	
UNICEF	Executive Office and Director of the Department of Management and Administration
UNIDO	
UNOG	(follow UN regulations)
WHO	Records Management

Question:

7. Who, or which office, makes access decisions in the absence of rules/regulations.

GATT	
IBE	
ICJ	
IMCO	Administrative Division
IMF	Executive Board upon recommendation by the Archivist
UNDP	
UNHCR	Director of Administration and Management
UNIDO	Records Management Service/Archivist

Questions and secondary components:	FAO	GATT	IBS	ICJ	IMCO	IMF	PAHO	UN	UNDP	UNDRO	UNECA	UNESCO	UNHCR	UNICEF	UNIDO	UNOG	WHO
8. Besides the originating office, records kept in the archives are accessible to...																	
(a) other offices within the organization	x	x		x	x	x	x	-	x	x	x	x	x	x	x	x	x
(b) other organizations within the UN System		-			-	x	x	-	x	-	x	-	x	-	x	x	
(c) researchers		-			-		x	-	x	x	x	-	x	-	x	x	
9. Archival documents preserved in the archives are accessible to...																	
(a) other offices within the organization	x	x		x	x	x	x	-	x	-	x		x			x	
(b) other organizations within the UN System		-			-	x	x		x		x		x			x	
(c) researchers		-			-	x	x	-	-	-	x		x			x	

Questions and secondary components:	FAO	CATT	IBE	ICJ	IMCO	IMF	PAHO	UN	UNDP	UNDRO	UNECA	UNESCO	UNHCR	UNICEF	UNIDO	UNOG	WHO
10. Complete disposal schedule of records is kept...																	
(a) in the originating office	x	-		-	x	x	x	-	x	-				x	x	x	-
(b) in the archives	x	-		-	-	x	x	x	-	x	x	x	x	x	x	x	x
11. Decision on disposal of records is made by...																	
(a) the archivist							x		x	x					x	x	x
(b) the originating office																	
(c) jointly by archivist and originating office				x	x		x	x			x	x			x	x	x
(d) between originating office and another office, e.g. Office of Legal Affairs	x																

6. CONCLUSIONS AND GUIDELINES

The gradual liberalization of access to archives in recent times has had an impact on international organizations. Archives are no longer important purely for historical inquiry, but for social science and other disciplines. Thus, the role and use of archives have been redifined by modern administration and research trends and are responsive to contemporary intellectual currents and political concerns.

Experience has also shown that accessibility to archives has transnational implications. The international community responded to the challenge of establishing archival repositories in former colonies, or in countries needing archival facilities of a specific nature, through the implementation of repographic programmes, such as those initiated by UNESCO or the Organization of American States (OAS).

Without doubt, the time will come when international organizations must also take a step forward in this direction, because of the importance of their archives for research on a national or international level.

Thus, the consequences of harmonization in the management of records/archives of international organizations, or the lack thereof, will be determinative in the quality of response to the need of the international community, since the archives of these organizations are, as already stated, the documention center for many important questions requiring a multilateral approach. For this reason, the conclusions and guidelines treat access as an important factor that is greatly affected by the quality of archives administration.

6.1. The Background

According to some scholars, current literature on international organizations is all too often based more on wishful thinking than on facts. Therefore, it is in the organizations' own interest to open their archives so that their work could be analyzed and evaluated on the basis of primary sources that reflect the background to the decisions made and the actions taken. Although these sources may record failures and frustrated dreams, they can bring new realism to the study of internationalism./[27] Consequently, the preservation and the liberalization of access to these archives are fundamental to the reversal of the present situation./[28]

In a broader context, archives administration within international organizations is, in no essential respect, different from that in national governments, in business, or in research institutions. The techniques, principles and problems are the same. Equal attention must be devoted

to rescuing valuable records and getting rid of ephemeral ones. There is also a current preoccupation with the control of records in formation. Regardless of the organization in question, equal attention to records management, appraisal and disposition is essential to effecting solid administration and economy, despite the pressures of personnel and space limitations.

6.2. The State of Affairs

Records/archives lacking standards and procedures for classification and declassification, retention periods, disposal policies and realistic conditions of access mean frustration to archivists as well as to internal and external users. The present survey has revealed a number of inadequacies in regard to the international organizations. Among the sample of the 34 international organizations chosen, only 41.2 percent answered the questionnaire in a comprehensive manner. What is happening, if anything, in the field of archives administration in the other 58.8 percent? So much information is missing that it seems almost impossible to get a clear picture of the actual situation.

Recent developments, however, give some cause for optimism. The highest authority in the United Nations System, the Administrative Committee on Co-ordination (ACC), made the decision that "the preservation of the archives of the United Nations and the specialized agencies" should be pro-

moted. Unfortunately, the present serious financial crisis in the UN System has slowed the implementation of that decision, but there is hope for the future. UNICEF has set up an archives programme and engaged an archivist to organize its holdings, and, at the same time, adopted "Procedural guidelines for records and archives" (9 November 1983). And the United Nations Secretariat reinforced the principle of inviolability of records, as expressed in a revised "Administrative instruction: the UN Archives" (28 December 1984).

In general, rules and procedures relating to archives are rather scarce in the international organizations, although these instructions are essential in the maintenance of an operative records/archives management. In this survey 11 organizations reported that they have such instructions, but only 5 submitted the texts as requested. Instruction of the IMF, UN Secretariat (also followed by UNECA and UNOG), UNESCO, UNICEF and WHO satisfy the standards of what is considered to be good archives administration. Otherwise, the so-called instructions are simply correspondence and registry manual for secretaries, if the organization has even such instructions.

A better understanding of the vital importance of archives as a source for well-functioning administrations and as evidence of the work accomplished by the organization, and indisputable proof of its role in the world community is to be hoped for.

Therefore, the primary task of ICA's Section of Archivists of International Organizations is to redouble its efforts in its commitment to promote a better understanding among administrators of archival functions and to encourage the implementation of the ACC decision of 1984. Success in this objective would result in a professionalization of archives services.

The second priority should be the development and creation of a common core of rules and regulations for archives among the agencies of the UN System. If ICA's work in the last several decades has already produced results in harmonizing national legislation throughout the world, causing a universal approach to many archival problems, one may well expect the same from a group of organizations having a common objective: "to be centre for harmonizing the actions of nations in the attainment" of common ends in peace and security, international relations, and co-operation "in solving international problems of an economic, social, cultural or humanitarian character, and in promoting and encouraging respect for human rights and for fundamental freedoms for all without distinction as to race, sex, language or religion."[29] Perhaps the proposal expressed by Dr. Ernst Posner in 1961 is still valid: get together the countries interested in solving this situation and "discuss the problem in the responsible committee" of the UN or any other organization.[30]

6.3. Diversity in Access

Accepting the definition of access as "the availability of records/archives for consultation as a result both of legal authorisation and the existence of finding aids" means detailed responsibilities for archives administration.[31] The manner in which UN agencies are dealing with this question differ in many respects and, for that reason, it is of interest to examine the content of selected rules and procedures.

6.3.1. The United Nations Archives

An Administrative Instruction, ST/AI/326, of 28 December 1984 "explains the guidelines concerning internal and public access to the United Nations archives."[32] Access is given both to archives and non-current records kept by the service. It is clearly stated that staff members of the Secretariat may have access if they need the documents for official business, "except those subject to restrictions imposed by the Secretary-General." Regarding public access to archives and records, it is asserted that:

(a) they are open if they were accessible when created;
(b) they are open if they are more than 20 years and not subject to restrictions; and,
(c) they are open if they are less than 20 years and not subject to restrictions.

Consequently, the United Nations Secretariat follows a time limit of 20 years, but with flexibility in regard to non-restricted material. With respect to restricted records the Secretary-General has imposed two levels of classification:

- SG - Strictly Confidential to records originating with the Secretary-General, the unauthorized disclosure of which could "cause grave damage to confidence in the Secretary-General's Office(s) or to the United Nations."

- SG - Confidential to records originating with the Secretary-General, the unauthorized disclosure of which could "cause damage to the proper functioning of the United Nations Secretariat."

"SG-Confidential" records are automatically declassified when 20 years old, and "SG-Strictly Confidential" are reviewed for declassification at this age. Declassification in either case can be approved prior to the expiration of 20 years.

The United Nations Archives rule of a 20 year time limit is gaining wider acceptance, as in the case of UNESCO and UNICEF, and it could be a starting point in discussions on the subject of access.

6.3.2. UNESCO Archives

The "Rules governing access to outside persons to UNESCO's Archives" reveal that the holdings consist of documents, field mission reports and records. The first two are "freely accessible in the reading room of the Archives Section," although documents can be marked "restricted and confidential" and access given only "if the prior agreement of the relevant unit of the Secretariat has been obtained."[33] Often, the documents are mimeographed or other multicopied material

but not archival documents.

The third category, records, is another case. According to the Chief Archivist, a relaxation in access is currently under consideration, following the UN Secretariat's rule of 20 year time limit. Until any changes are made, the rules in force place it at 30 years, "with the exception of certain types of material where UNESCO may decide on a shorter period." A closed period limit of 50 years is imposed on the following material:

- files containing exceptionally sensitive information on relations between Unesco and its Member States, between Unesco and the United Nations, intergovernmental and non-governmental organizations;

- files containing papers which, if divulged, might injure the reputation, affect the privacy or endanger the safety of individuals;

- personnel files of officials or agents of Unesco; and,

- confidential files of the offices of the Unesco Director-General; Deputy Director-General and Assistant Directors-General.

It should be stressed that access to archives within the open period can be refused if they are "unmistakably of confidential nature still," and exceptions "to a paper or file that is not yet in the open period may be made by the Chief Archivist" after some provisions are fulfilled. The UNESCO rules thus also have a degree of flexibility.

6.3.3. UNICEF Records and Archives

This organization has adopted rules and regulations similar to those promulgated by the UN Archives. The "Procedural guidelines for UNICEF records and archives," of 9 November 1983, follow closely the access conditions and 20-year rule adopted by the UN Secretariat. Archives and non-current records follow the same pattern of consultaltion and restrictions. Except that the latter can be impossed either by the Secretary-General of the UN, the Executive Director of UNICEF or their authorized representatives./[34]

6.3.4. WHO Archives

These archives are defined primarly as "documents and correspondence of various kinds, received or produced by the Organization... in the course of carrying out its functions, and which have been preserved in whatsoever form for documentary and historical purposes. External material whether public or private, relating to the activities of the Organization may be added to the archives; such material shall also be subject to these rules."/[35] That reference appears in "Rules governing access to WHO Archives," of 15 February 1974.

Access is given in situ after a time limit of 40 years but more recent material can also be freely consulted if it does not have any confidential component. In practice a pragmatic 10-year time limit is also employed. The determi-

nation of what is confidential is a prerogative of the organization and is not clarified in the rules. WHO Archives also has material with closed periods of up to 60 years, e.g., "files containing information which, if disclosed, might prejudice the reputation, personal safety or privacy of individuals."

6.3.5. IMF Archives

This organization applies no time limit for access to its holdings. "General Administrative Order No. 26, Rev.1," of 1 November 1969, states: "All Fund documents and other records shall be considered restricted and not for public use except when designed for transmission to the public or specifically authorized for distribution to a particular recipient or group of recipients."/[36] The documents may also be classified as confidential or secret:

> - "Confidential -- records containing information, the unauthorized disclosure of which might be prejudicial to the interest of the Fund or its members. Records, the subject of which required limitations on use for reason of administrative privacy.
>
> - Secret -- records containing information, the unauthorized disclosure of which would endanger the effectiveness of a program or policy, or hamper negotiations in progress, or which could be used to private advantage. Use of this classification should be held to an absolute minimun."

6.3.6. Overview

In summary, from the above examples, it appears that access to the records/archives of international organizations is related to the identification of what is in the archives; the interpretation of the right to information; respect for privacy of individuals; and the protection of the organization's different spheres of interest. In addition, to open archives to the public means that the organization must comply with basic requisites, including a good record management system and the provision of users facilities. These goals have not been realized in many international organizations at the present time.

6.4. The Concept of Inviolability

An enormous drain of particularly important holdings has been confirmed by Peter Walne's research on "archives of international organizations and their former officials in the custody of national and other archival and manuscript repositories." A more precise and strong definition of the inviolability, or inalienability, of archives within the UN System has been needed for a long time. Walne's findings document a widespread dispersal of UN archives among Finland, France, the Federal Republic of Germany, the Netherlands, Poland, Sweden, Switzerland, the United Kingdom and the United States of America.[37] Certainly, much more material created by international organizations and unidentified by Walne's research still remains in national or private institutions.

It is surprising to learn of the volume and nature of the records/archives of former UN Secretary-General, Dag Hammarskiöld, now kept in the Royal Library (Kungliga Biblioteket) in Stockholm. The description of what must be regarded as records/archives belonging to the United Nations comprises 15 printed pages in Walne's study. But he does not mention other repositories in Sweden having records/archives belonging to international organizations, such as the Archives of the Labour Movement (Arbetarrörelsens arkiv), which has custody of records/archives of Alva and Gunnar Myrdal from their tenure with the UN Secretariat and the Economic Commission for Europe, or the records kept in the Archives of the National Board of Police (Rikspolisstyrelsens arkiv) concerning recruitment of soldiers as UN observation troops./[38] Some of these records might duplicate originals and have been kept for personal or administrative convenience. However, as the whereabouts of the originals are unknown, they serve as today's records.

The present study has already clarified the impact of this regrettable phenomenon on access, but recognition of this serious problem is only half the battle. The current task for archival services of many international organizations is the method by which to recover these holdings or to at least establish microfilming programs to duplicate their alienated records, in order to complete their holdings.

In light of this, the definition of inviolability is very important. Some archival instructions treat the subject in a very superficial manner, and their inadequacies show lack of concern on the part of international organizations. IMF's administrative order asserts that the records "are the Fund's property and cannot be removed from its custody or be disposed in any manner or destroyed" without approval./[39] One brief example is the following: "WHO archives are inviolable."/[40]

The United Nations Secretariat has developed an in-depth approach, defining in detail the legal title to the records produced by the organization and declaring their inviolability in an indisputable manner. "All the records, regardless of physical form, created or received by a member of the Secretariat in connection with or as a result of the official work of the United Nations are the property of the United Nations," says the administrative instruction. According to the same document, high ranking officers are contacted by the Archives Section before they leave the Organization and their records are screened by an archivist in order to decide whether there should be a transfer or not to the Archives. The officer "shall not remove any records from the United Nations premises." However, the instructions acknowledge that separated staff members "are entitled to have a reasonable number of unrestricted documents in their position copied at their own expense and to retain their private papers." There is also rules for the separation of the "Secretary-

General's private papers from his official records."/[41]

To the extent possible, a given organization should bear in mind the Secretariat's regulations in order to avoid the loss of records/archives, which creates so many problems.

6.5. Towards Change

The different criteria adopted by the international organizations regarding accessibility, as reflected by the results of this survey, reinforce the argument that a serious discussion about administrative instructions and procedures on records/archives is needed, -- especially with those organizations without any such instrument.

If no action in accordance with the Administrative Committee on Co-ordination of 1984 is taken in this regard, chaos will characterize the records/archives in formation; organizations will continue to ignore the responsabilities entrusted to them as administrators of a specific field of action in the world community; and they cannot perform their duties in preserving and caring for a very special documentary treasure of mankind. The archives resulting from and documenting their activities are of unique historical and cultural value, and absolutely necessary to an understanding of the changes occurring in our times.

Initially, in the effort to implement an archives program, a drive should be undertaken to inform administrators as

to what records/archives management can really means to them, and to make them understand the benefical budgetary implications of an archival program can accrue both to the organization and researchers and other users. If smaller organizations cannot afford professional archivists and the creation of an archives service, other solutions should be considered, such as hiring a consultant to organize, arrange and describe the archives, to screen them and to establish rules for access. Even better, several smaller organizations should go together and constitute an archival depository as it is now discussed for the UN agencies in Geneva.

In general terms, professional and expert advice is needed to establish rules and regulations for the active part of the records life-cycle to assure their transformation into valuable archives. The necessary steps include:

- planning and conducting records surveys, to identify all records at every level, whether current, semi-current or non-current;

- creating and implementing classification/declassification schemes, to define which records/archives should be restricted/confidential/secret, and for how long;

- establishing and applying retention schedules with defined time periods at which records should be transferred to an intermediate repos-

itory or to the archive repository. Most records are not needed in the offices for administrative, legal or fiscal use more than 3 to 5 years and should be removed thereafter in order to free high-cost office space and filing equipment;

- establishing and implementing transfer procedures, featuring a file list to be used as a finding aid until the records can be appraised;

- establishing and implementing an appraisal program, to make possible regularized and authorized destruction of records lacking archival value;

- establishing rules for decisions on appraisal and destruction of records. Preferably, only one person should make the decision, in collaboration with the originating office or the concerned senior officer;

- preparation of finding aids of different types that not only describe the content of the records/archives, but also explain their administrative and functional context;

- formulating and applying regulations on access to holdings that consider all legal,

economical, administrative, cultural and historical implications; and,

- formulating users instructions, explaining how to request permission to consult the archives and, if given access, how to get approval of manuscripts.

These practical measures will not only result in an economic gain in the form of less administrative costs, better flow of the paper work, and flexible administrative procedures, but will also cause a substantive liberalization of the access to records/archives. Against this background, the principal obstacles to archival access may be summarized as:

- a poor records management system;

- lack of professional archivists and other staff to handle the processing of records transferred to storage and in need of appraisal and disposal;

- lack of researcher/user facilities, such as reference service, reading rooms and personnel to guide users and bring them material for consultation; and,

- fragile or dammaged archival material that cannot be given to researchers and other users without the risk of destruction.

Once these obstacles are overcome, rules governing the availability of records/archives will help the organization's

own staff, Member States, officers of other international organizations and persons outside the organization in their work. The rules must take into account such reasons for restrictions as the sensitivity of diplomatic affairs involving Member States and organizations, requiring that records be closed for up to 30 years; economic, commercial and industrial negotiations and interests, needing closed periods varying from 10 to 20 years; and the respect of the privacy of individuals, with closure for up to 50 years; and the like.

6.6. Centralization of the UN System Archives

The idea of a centralized archives for all agencies of the UN System has occasionally been pursued. In 1945, Dr. Solon Buck proposed that the UN Secretariat Archives be the centre for all the archives of the international organizations. In 1961, two separate depositories were considered: one in New York, and the other in Geneva./[42]

Prior to the XIIIth International Conference of the Round Table on Archives, held in 1971, a questionnaire was sent to a number of organizations. In part, it dealt with the pros and cons of a possible centralization "of the archives of defunct international organizations and commissions, and that of the inactive archives of the specialized agencies of the UN." The responses proposed a variety of approaches, ranging from the position that "some centralization would be desirable" to a total refusal to consider any degree of

centralization. France, for example, answered "that the archives of defunct organizations can find no better place than in national repositories." The report from this meeting stated that "The League of Nations believe it only natural that the historical archives of world organizations should be concentrated in Geneva, while suggesting the creation of a centre in Brusels, Luxembourg or Strassbourg, for purely European bodies; New York would be a good centre for the archives of the specialized agencies of the UN."/[43]

Questions, similar to those of today, were posed: who will cover the costs and take the responsability for the functioning of such centre(s)? where shall it be located? how does the world's division into two ideological blocks affect such an idea? what status should the centre(s) be accorded in order to inspire confidence by governmental and non-governmental agencies and researchers/users? should this(ese) world-wide repository(ies) be subordinated to the General Assembly of the United Nations, or put under the aegis of UNESCO?

Taking into consideration the need for access to records/ archives of the international organizations, it is evident that the question of creating archives centres to which they can transfer their archives, when 50 to 100 years old, must be investigated.

Opinions can differ but one thing is certain: the benefits are many. Such a move would ensure maximum favorable conditions for storage of archives and make possible the elaboration of records management and archives administration especially designed for international organizations. The researchers/ users' work would be made easier, too.

The concentration of archives would relieve the small organizations from many problems, bettering the conditions of their archives and facilitating access. Finally, standardization in the preparation of finding aids and utilization of automatic techniques to establish both administrative and intellectual control over the archives and their contents would become much easier.

N O T E S

1. Constitutional Documents of Sweden, Stockholm, 1978, p. 18 (Amend-. to the Freedom of Press of the Press Act, adopted by the Riksdag at its 1976-77 Ordinary Session).

On the publich character of official documents, the law says: "Art. 1. To further free interchange of opinions and enlightenment of the public, every Swedish national shall have free access to official documents.

Art. 2. The right to have access to official documents may be restricted only if restrictions are necessary considering:

(1) the security of the Realm and its relations with foreign state or to an international organization,

(2) the central financial policy, the monetary policy, or the foreign exchange policy of the Realm,

(3) the activities of a public authority for the purpose of inspection, control, or other supervision,

(4) the interest of prevention or prosecussion of crime,

(5) the economic interests of the State or the communities,

(6) the protection of the personal integrity or the economic conditions of individuals, and

(7) the interest of preserving animal or plant species."

The Swedish law also defines what is an official document referring to "any document kept by a State or municipal authority, whether it has been received or drawn up by such authority."

RHOADS, James B. The role of archives and records management in national information systems: a RAMP study, Unesco, Paris, 1983

In "Considerations with Respect to Access", Mr. Rhoads states: "In many countries there is a statutory period of years (most commonly 30), after which records may be made generally available. Almost always, however, there is provision for keeping certain kinds

of records (usually those relating to national security measures and those which, if prematurely released, might violate personal privacy rights) closed for longer periods of time. In many cases there is also provision for making nonsensitive records available before the statutory period has expired. In a few countries, particularly the United States of America, the problem of access is dealt with rather differently. The U.S. "Freedom of Information Act" requires all agencies in the federal executive branch to make promptly available upon request records or information in their custody as soon as it is created, so long as it does not fall within a few stated exempt categories. Records thus exempted from immediate release are generally made available in no longer than 30 years." page 10.

2. Archivum XVI, Paris, 1969, p. 233

3. "Resolutions, recommendations and wishes of the Extraordinary International Congress, held in Washington, May 9-13, 1966". Archivum XVI, Paris, 1969, p. 233. The text is given in extenso in Appendix B No. 1.

4. "Resolutions, recommendations and wishes of the VIth International Congress on Archives, held in Madrid, September 3-7, 1968". Archivum XVIII, Paris, 1970, p. 213. The text is given in extenso in Appendix B No. 2

5. idem

6. "Resolutions, recommendations and wishes of the VIIIth International Congress on Archives." Archivum XXVI, München, 1979, p. 204. The text is given in extenso in Appendix B No. 3.

7. "Recommendations of the 9th International Congress on Archives". Archivum XXIX, München, 1982, p. 199. The text is given in extenso in Appendix B No. 4.

8. The Yearbook of the International Organizations, 1983-84, has some 20,000 entries. According to the UN Terminology Bulletin No. 331 (ST/CS/SER. F/331), 1985, there are 792 NGOs in consultative status with the Economic and Social Council (ECOSOC).

9. DIRECTION DES ARCHIVES DE FRANCE. Actes de la Sixième Conférence Internationale de la Table Ronde des Archives, Paris, 1963, p.p. 143-144

10. idem, p. 147

11. GUT, Christian. Report to the XIIIth Internataional Conference of the Round Table on Archives, (mimeographed paper), 1971, p.p. 113-114

12. ROZSA, György. "Specialization and integration: some aspects of the documentation of international organizations." Sources, Organizations, Utilization of International Documentation (SOUID), The Hague, 1974, p. 23

13. GUPTIL, Marilla. Archival appraisal of records of international organizations: a RAMP study with guidelines, Unesco, Paris, 1985, p. 60

14. DUCHEIN, Michel. Obstacles to the access, use and transfer of information from archives: a RAMP study, Unesco, Paris, 1983, p. 14

15. There are a number of works addressing the problem of secrecy and restrictions to access. Administrative Secrecy in Developed Countries, edited by Donald C. Rowat, Columbia University Press, New York, 1979. Secrecy and Foreign Policy, edited by Thomas M. Franck and Edward Weisband, Oxford University Press, New York, London and Toronto, 1974. K. G. ROBERTSON: Public Secrets: A study in the development of Government Secrecy, St. Martin's Press, New York, 1982. Sissela BOK: Secrets on the ethics of concealment and revelations, Pantheon Books, New York, 1982.

16. ERLANDSSON, Alf. "The United Nations Archives and its availability to scholars." SOUID, op. cit. p. 479

17. PRASSAD, S. N. "The liberalization of access and use." Archivum XXVI, 1979, p. 141

18. GUPTIL, op. cit. p. 17

19. PRASSAD, op. cit. p. 138

20. UNESCO. Guide to the archives of international organizations: the United Nations agencies, Part I, Paris, 1984.

UNESCO. Guide to the archives of international organizations and their former officials in custody of national and other archival institutions and manuscripts repositories. A RAMP study, compiled by Peter Walne, Paris, 1985.

21. GUPTIL, op. cit. and STARK, Marie C. Development of records management and archives services within United Nations agencies: a RAMP study, Unesco, Paris, 1983.

22. UNITED NATIONS SECRETARIAT. Administrative Instruction: The United Nations Archives, ST/AI/326, 28 December 1984. The text is given in extenso in Appendix A No. 1.

23. UNITED NATIONS CHILDREN'S FUND. Administrative Instruction 359: Procedural guidelines for UNICEF Records and Archives, 9 November 1983. The text is given in extenso in Appendix A No. 3

24. UNESCO. Rules governing access by outside persons to Unesco Archives, August 1977. The text is given in extenso in Appendix A No. 2.

25. MANNING, Raymond. "Access to the archives of the International Labour Office." SOUID, op. cit. p. 492

26. Letter from Mr. E. J. Cieniwicz (UNDRO) to the author in connection with the survey.

27. DUBIN, Martin David. "For the preservation and scholarly access to international archives." SOUID, op. cit. p. 477

28. EVANS, Frank B. Access to archives of the United Nations organizations. (Unpublished paper: Second World Symposium of International Documentation). Brussels, 1980, p. 7

29. CHARTER OF THE UNITED NATIONS. In: Webster's New Universal Unabridged Dictionary, New York, 1979, p.p. 145-149

30. DIRECTION DES ARCHIVES DE FRANCE, op. cit., p. 144

31. EVANS, Frank B., et al. Dictionary of archival terminology, ICA Handbooks Series, Vol. 3, München, 1984, p. 15

32. UNITED NATIONS SECRETARIAT, op. cit., p. 1

33. UNESCO. Rules governing access..., op. cit.

34. UNICEF, op. cit., p. 1

35. WORLD HEALTH ORGANIZATION. Rules governing access to WHO Archives, 15 February 1974. The text is given in extenso in Appendix A No. 6

36. INTERNATIONAL MONETARY FUND. Articles of Agreement, and General Administrative Order No. 26, Rev. 1 on Records, 1 November 1969. The texts are given in extenso in Appendix A No. 4

37. UNESCO. Guide to the archives of international..., Part II, compiled by Peter Walne, op. cit.

38. The author was consultant on records management and archives administration to the Swedish National Board of Police and has been engaged in research in the Archives of the Labour Movement.

39. INTERNATIONAL MONETARY FUND, op. cit.

40. WORLD HEALTH ORGANIZATION, op. cit.

41. UNITED NATIONS SECRETARIAT, op. cit.

42. GUT, op. cit., p. 125

43. idem

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APPENDIX A

Administrative Instructions on Archives

1. United Nations Secretariat, ST/AI/326, 28 December 1984.

2. Unesco, "Rules governing access...", August 1977.

3. Unicef, Administrative Instruction 359, 9 November 1983.

4. IMF, Articles of Agreement and General Administrative Order No. 26, Rev. 1, 1 November 1969.

5. League of Nations Archives, "Rules for consulting...", of 26 December 1969.

6. WHO, "Rules governing access...", 15 February 1974.

UNITED NATIONS

ST

Secretariat

ST/AI/326
28 December 1984

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: THE UNITED NATIONS ARCHIVES

1. Pursuant to paragraph 5 of ST/SGB/158 of 28 July 1977, this instruction details the rules and procedures to be followed in respect of transfer, maintenance, custody and disposition of the archives and non-current records of the United Nations and also explains the guidelines concerning internal and public access to the United Nations archives. Administrative instruction ST/AI/252 of 28 October 1977 is hereby superseded.

I. Responsibilities of the Archives Section

Management and preservation

2. The Archives Section shall maintain, preserve and repair the archives and non-current records of the United Nations and shall arrange and describe the archive groups and prepare finding aids to make them available for use.

Transfer of non-current records

3. The Archives Section shall undertake the mandatory transfer from Secretariat units to its premises of archives and non-current records which are more than three years old. In exceptional cases, where shorter or longer retention periods are deemed desirable, a schedule mutually agreed upon between the Archives Section and the Secretariat units concerned may be established.

Conditions of access

4. Archives and non-current records are available as follows:

(a) Members of the Secretariat may have access to archives and records necessary to the conduct of their official business, except to those subject to restrictions imposed by the Secretary-General.

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(b) Members of the public may have access to (i) archives and records that were accessible at the time of their creation, (ii) those which are more than 20 years old and not subject to restrictions imposed by the Secretary-General, and (iii) those which are less than 20 years old and not subject to restrictions imposed by the Secretary-General, on condition that the originating office has given written consent for access.

(c) Records as to which the Secretary-General or his authorized representatives have imposed restrictions may be declassified at any time by the same authority. Records that remain restricted when transferred to the Archives will be declassified automatically or be subjected to a declassification review when 20 years old. Those remaining restricted after 20 years shall undergo further declassification review at 5-year intervals. The guidelines concerning the classification and declassification of the records and archives of the Secretary-General are contained in annex I below.

Disposal

5. With the agreement of the Secretariat unit concerned, the Archives Section shall dispose of non-current records that have no further administrative, legal, historical or other informational value.

II. Responsibilities of Secretariat units at Headquarters

Transfer of non-current records

6. Prior to transferring their records to the Archives Section, Secretariat units shall prepare them for transfer in accordance with the format established by the Chief of the Archives Section.

Conditions for temporary retention

7. Secretariat units authorized to retain archives and non-current records beyond the normal three-year period for the conduct of their official business shall establish suitable conditions for the preservation of these archives and records as approved by the Archives Section.

Disposal

8. Secretariat units shall not dispose of records in their possession without the written authorization of the Chief of the Archives Section. The latter may require that samples of the records proposed for disposal be sent to him for review prior to authorizing disposal.

/...

III. Responsibility of members of the Secretariat

Legal title to records

9. All records, regardless of physical form, created or received by a member of the Secretariat in connection with or as a result of the official work of the United Nations are the property of the United Nations.

Inviolability of records

10. Prior to separation from the United Nations, members of the Secretariat shall make arrangements for transferring to the Archives Section those records in their possession not retained for their successor and shall not remove any records from the United Nations premises. The Chief of the Archives Section may inspect all records of a member of the Secretariat prior to separation from service. Members of the Secretariat to be separated are entitled to have a reasonable number of unrestricted documents in their possession copied at their own expense and to retain their private papers. In respect of the Secretary-General's papers, see annex II below.

IV. Archival guidance to other United Nations organs and Secretariat units away from Headquarters

11. The Archives Section shall provide guidance and set standards for the maintenance, preservation, repair, arrangement, description and disposal of, and public access to, the archives and non-current records of other United Nations organs and of Secretariat units away from Headquarters. In the event of the closure of such an office, its archives and records shall be transferred to the United Nations Archives Section, in accordance with procedures to be laid down after mutual consultation between the office and the Archives Section.

V. Explanation of terms

12. For the purpose of this instruction, records are all documentary materials, regardless of physical type, received or originated by the United Nations or by members of its staff, excluding "United Nations documents"; non-current records are those which are no longer needed for daily use in the transaction of official business but should be preserved on a temporary basis because of administrative or legal considerations; the term archives applies to those records to be permanently preserved for their administrative, legal, historical or informational value; an archive group is a body of organizationally related records established on the basis of their origin; disposition is the action taken with regard to non-current records following their appraisal, including transfer of a temporary storage area, transfer to the Archives, reproduction on microforms or disposal; disposal is the act of the destruction of records by appropriate methods; private papers of members of the Secretariat are those that have no connection with official work of the United Nations but which have been kept in their office.

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Annex I

GUIDELINES CONCERNING THE CLASSIFICATION AND DECLASSIFICATION OF THE RECORDS AND ARCHIVES OF THE SECRETARY-GENERAL

1. The purpose of this annex is to provide guidelines for the classification and declassification of records originating with the Secretary-General and kept in his custody or in the United Nations Archives.

Classification

2. Records may, in exceptional cases, be classified. Authority to apply classification shall be limited to the Secretary-General and such officials as the Secretary-General so authorizes:

(a) "SG - Strictly Confidential" shall be applied restrictively to records originating with the Secretary-General, the unauthorized disclosure of which could be expected to cause grave damage to confidence in the Secretary-General's Office(s) or to the United Nations.

(b) "SG - Confidential" shall be applied to records originating with the Secretary-General, the unauthorized disclosure of which could be expected to cause damage to the proper functioning of the United Nations Secretariat.

Declassification

3. Prior to the time-limits established in paragraph 5 below, all categories of classified records may be declassified by the Secretary-General or by such officials as the Secretary-General so authorizes.

4. Review for possible declassification should take place before records are transferred to the custody of the United Nations Archives.

5. Classified records that have been transferred to the Archives still maintaining their original classification should be declassified as follows:

(a) Records classified as SG - Strictly Confidential a/ shall be reviewed by the Archives for possible declassification when 20 years old. At the expiration of this time-limit, records so classified shall be declassified only upon explicit ad hoc, item-by-item, approval by the Secretary-General or by such officials as the Secretary-General so authorizes. SG - Strictly Confidential a/ records, not approved for declassification when 20 years old, shall be reviewed by the Archives for possible declassification every 5 years thereafter, following the above procedures.

(b) Records classified as SG - Confidential b/ shall be declassified automatically by the Archives upon the expiration of 20 years.

/...

Safeguarding classified records

6. Classified records shall, as far as feasible, be filed separately from non-classified or declassified records, under proper security arrangements.

Notes

a/ Formerly "Top Secret".

b/ Formerly "Secret".

/...

Annex II

GUIDELINES CONCERNING THE SECRETARY-GENERAL'S PRIVATE PAPERS

1. The purpose of this annex is to provide guidelines for the separation of the Secretary-General's private papers from his official records.

2. Records created or received by a member of the Secretariat in connection with, or as a result of, the official work of the United Nations are the property of the United Nations.

3. The following categories of paper are the private property of the Secretary-General:

(a) Personal notes and diaries;

(b) Surplus copies of United Nations printed documents;

(c) Personal correspondence with no connection to the Secretary-General's official position, even though filed in his office, including social invitations, acknowledgements, Christmas card lists and other purely social matters.

4. Upon retirement of the Secretary-General:

(a) He may remove the private papers specified in paragraph 3;

(b) The following categories of records may be copied by the United Nations and the original removed by the Secretary-General:

(i) Selected items of social content in the "Heads of State" files;

(ii) Secretary-General's daily appointment sheets and appointment books;

(c) The originals of all other records shall be transferred to the United Nations Archives, but the Secretary-General may receive copies for his personal use, provided that any classified records are appropriately safeguarded until they are either returned to the Organization or are destroyed.

U N E S C O

August 1977

RULES GOVERNING ACCESS BY OUTSIDE PERSONS TO UNESCO ARCHIVES

The Rules set out below govern the access by persons other than members of the Secretariat to the archives of Unesco, including access to the archives that other bodies have deposited with the Organization. The Rules are drawn to the attention of such persons by the Chief Archivist of the Unesco Secretariat.

1. Unesco documents and field mission reports, Unesco publications and Unesco-licensed publications are freely accessible in the reading room of the Archives Section. However, documents marked restricted or confidential may be consulted only if the prior agreement of the relevant unit of the Secretariat has been obtained.

2. Secretariat records, correspondence and administrative files are open for consultation after thirty years, counted from the most recent item in the file, with the exception of certain types of materials where Unesco may decide on a shorter period, and of the following materials which are open for consultation, unless Unesco decides otherwise, only after fifty years:

   (a) files containing exceptionally sensitive information on relations between Unesco and its Member States, between Unesco and the United Nations, intergovernmental and non-governmental organizations;

   (b) files containing papers which, if divulged, might injure the reputation, affect the privacy or endanger the safety of individuals;

   (c) personnel files of officials or agents of Unesco;

   (d) confidential files of the offices of the Unesco Director-General, Deputy Director-General and Assistant Directors-General.

3. Access to a paper or file that is within the open period may however be refused if the Chief Archivist of the Unesco Secretariat considers that it is unmistakably of a confidential nature still.

4. An exception regarding access to a paper or file that is not yet in the open period may be made by the Chief Archivist, with the agreement of the appropriate official(s) or unit(s) of the Secretariat, subject to the terms of paras. 5, 6 and 7 below and provided that:

   (a) he is satisfied that the applicant, who may be required to provide documentary evidence, has a legitimate interest in material of more recent data, and

   (b) the granting of access to such material would in no way be detrimental to the interests of the Organization.

5. According to the type of material consulted, a beneficiary proposing to make use thereof in a text to be published may be required to submit the manuscript to Unesco for its agreement on the parts of concern to the Organization.

6. For the copying, reproduction and/or publication of material in the Unesco Archives to which access is granted, the Organization is unable to release beneficiaries from any obligations that may exist in respect of the copyright ownership of such material.

7. A beneficiary is required to deposit with the Unesco Archives one copy, on issue, of any text that, in whole or in part, is based on or relates to material made available from the archives of the Organization.

U N E S C O

août 1977

REGLEMENT REGISSANT L'ACCES DES PERSONNES ETRANGERES A L'ORGANISATION AUX ARCHIVES DE L'UNESCO

Les dispositions ci-après régissent l'accès des personnes autres que les membres du Secrétariat aux archives de l'Unesco et à celles que d'autres organismes ont déposées auprès de l'Organisation. Ce règlement est porté à l'attention des intéressés par le Chef des Archives du Secrétariat de l'Unesco.

1. Les documents de l'Unesco et les rapports de mission, les publications de l'Unesco et les publications autorisées de l'Unesco peuvent être librement consultés dans la salle de lecture de la Section des archives. Toutefois, les documents portant la mention "diffusion restreinte" ou "confidentiel" ne peuvent être consultés qu'avec l'accord préalable de l'unité compétente du Secrétariat.

2. Les dossiers de la correspondance et les dossiers administratifs du Secrétariat peuvent être consultés après un délai de trente ans, à compter de la date de l'élément le plus récent du dossier, à l'exception de certains types de document pour lequel l'Unesco peut fixer un délai plus court, ainsi que des documents indiqués ci-après qui ne peuvent être consultés, sauf décision contraire de l'Unesco, qu'après un délai de cinquante ans :

   (a) dossiers contenant des informations particulièrement délicates sur les relations entre l'Unesco et ses Etats membres ainsi qu'entre l'Unesco et l'Organisation des Nations Unies et des organisations intergouvernementales ou non gouvernementales;

   (b) dossiers contenant des pièces dont la divulgation risquerait de nuire à la réputation, d'attenter à la vie privée ou de menacer la sécurité de certaines personnes;

   (c) dossiers du personnel (concernant les fonctionnaires ou les agents de l'Unesco);

   (d) dossiers confidentiels des cabinets du Directeur général, du Directeur général adjoint et des Sous-directeurs généraux de l'Unesco.

3. Passé les délais susmentionnés, le Chef des Archives du Secrétariat de l'Unesco peut néanmoins refuser l'accès à un document ou à un dossier s'il estime que ce document ou dossier garde toujours, incontestablement, un caractère confidentiel.

4. Avant l'expiration des délais en question, le Chef des Archives peut, avec l'accord du (des) fonctionnaire(s) ou de (des) unité(s) compétents du Secrétariat, autoriser l'accès à un document ou à un dossier, sous réserve des dispositions des paragraphes 5, 6 et 7 ci-dessous et à condition :

   (a) qu'il ait la certitude que le demandeur, qui peut être tenu de fournir une preuve écrite, a une raison légitime de s'intéresser à des documents de date plus récente et,

   (b) que la consultation de ces documents ne puisse en aucun cas nuire aux intérêts de l'Organisation.

5. Selon le type de document consulté, tout bénéficiaire ayant l'intention d'en faire usage dans un texte destiné à être publié peut être tenu de soumettre le manuscrit à l'Unesco pour obtenir son accord sur les passages intéressant l'Organisation.

6. Pour la copie, la reproduction et/ou la publication de documents d'archives de l'Unesco auxquels l'accès est autorisé, l'Organisation ne peut dégager les bénéficiaires des obligations qui peuvent exister au titre de la propriété littéraire inhérente à ces documents.

7. Dès la parution d'un texte inspiré, intégralement ou partiellement, de documents provenant des archives de l'Unesco, l'auteur est tenu d'en déposer un exemplaire auprès des Archives de l'Organisation.

UNITED NATIONS CHILDREN'S FUND

New York Headquarters

Administrative Instruction 359 — 9 November 1983

TO: Members of the staff

FROM: Erich Buenger, Director
Division of Management Organization and Administration

SUBJECT: Procedural Guidelines for UNICEF Records and Archives

CONTENTS

		Page
1.	Introduction	
I.	Responsibilities of the Records Management Unit	1
2.	Management and Preservation	1
3.	Transfer of non-current records	2
4.	Conditions of access	2
5.	Disposal	2
II.	Responsibilities of UNICEF section/units at Headquarters	3
6.	Transfer of non-current records	3
7.	Conditions for temporary retention	3
8.	Disposal	3
III.	Responsibility of staff members	3
9.	Legal title to the records	3
10.	Inviolability of records	3
IV.	Archival Guidance to UNICEF offices away from Headquarters	3
V.	Explanation of terms	4-5

1. Introduction

Pursuant to paragraph 1(a) of EXD-2867 of 9 November 1983, this instruction details the rules and procedures to be followed in respect of transfer, maintenance, custody and disposition of the archives and non-current records of UNICEF and also explains the guidelines concerning internal and public access to UNICEF records stored at the archives or records center.

I. Responsibilities of the Records Management Unit

2. Management and Preservation

The Records Management Unit shall establish procedures and monitor maintenance, preservation and repair of the archives and non-current records of UNICEF in co-operation with the United Nations Archives and shall arrange for the description of the archival groups and preparation of finding aids to make them available for use. In order to facilitate retrieval, the Records Management Unit will ensure that only properly described records are sent to storage areas and, where appropriate, that listing of all files is undertaken by the office from which records originate before transfer. The use of word processing equipment for this exercise will be encouraged.

3. Transfer of non-current records

When required, the Records Management Unit shall effect the mandatory transfer from Divisions/Sections and Units to the Records Centre or United Nations Archives for all non-current records which are more than three years old. It is the responsibility of the originating office concerned to complete the necessary forms. In exceptional cases where shorter or longer term retention periods are deemed desirable, a schedule mutually agreed upon between the Records Management Unit and offices concerned may be established. Agreements covering specific series will be reflected in the UNICEF Retention/Destruction Authorization Log to be updated and issued periodically as an addendum to this Administrative Instruction.

4. Conditions of access

The Records Management Unit shall make arrangements for access to archives and non-current records under the following conditions:

(a) Staff members of UNICEF may have access to archives and records necessary to the conduct of their official business except to those subject to restrictions imposed by the Secretary General or Executive Director.

(b) Members of the public may have access to - (i) archives and records that were accessible at the time of their creation; (ii) those which are more than 20 years old and which are not subject to restrictions imposed by the Secretary-General or Executive Director; (iii) those which are less than 20 years old and not subject to restrictions imposed by the Secretary-General or Executive Director on condition that the originating office has given written consent for access.

(c) Records as to which the Secretary-General, the Executive Director or their authorized representatives have imposed restrictions may be declassified at any time by the same authority. Records that remain restricted when transferred to the Archives will be declassified automatically or be subject to a declassification review when 20 years old. Those remaining restricted after 20 years shall undergo further declassification and review at 5-year intervals.

5. Disposal

With the agreement of the UNICEF work unit concerned, the Records Management Unit shall arrange for disposal of non-current records that have no further administrative, legal, historical or other informational value. When required, security arrangements will be undertaken in co-operation with the United Nations Archives. Offices away from Headquarters may follow the guidelines set forth in the Destruction/Retention Authorization Log which will be issued as an addendum to this Administrative Instruction.

II. Responsibilities of UNICEF Sections/Units at Headquarters

6. Transfer of non-current records

UNICEF Sections/Units shall transfer their non-current records, to the UNICEF Records Center or United Nations Archives in accordance with predetermined disposition schedules, mutually agreed upon between the Records Management Unit and Sections/Units concerned. Prior to transferring their records, Sections/Units shall prepare them for transfer in accordance with the format established by the Records Management Unit (see Information Bulletin No. 83/64 of 28 September 1983). Listing of files will be completed using the word processor. The Documents and Reproduction Unit will make arrangements for the physical transfer of records, assign storage location and maintain a Log of Transactions.

7. Conditions for temporary retention

Sections/Units authorized to retain archives and non-current records beyond the normal three-year period for the conduct of their official business, shall establish suitable conditions for the preservation of these archives and records as approved by the Records Management Unit.

8. Disposal

Sections/Units shall not dispose of records in their possession without the written authorization of the Records Management Unit which will consult with the United Nations Archivist and other interested parties (i.e. UNICEF History Project) in questionable cases. The Records Management Unit may require samples of the records proposed for disposal to be sent to the Unit for review prior to authorizing disposal.

III. Responsibility of staff members

9. Legal title to the records

All records regardless of physical form, created or received by UNICEF staff in connection with or as a result of the official work of UNICEF are the property of UNICEF.

10. Inviolability of records

Prior to separation from UNICEF or transfer to another post, staff members shall make arrangements for the transfer, through the Records Management Unit, of those records in their possession not retained for their successor and shall not remove any records from the UNICEF premises. The Records Management Unit may inspect all records of a staff member prior to separation from service. Staff members to be separated are entitled to have a reasonable number of unrestricted resource documents copied at their own expense, and to retain their private papers.

IV. Archival Guidance to UNICEF offices away from Headquarters

11. The Records Management Unit shall provide guidance and set standards for the maintenance, preservation, repair, arrangement, description and disposal of, and public access to, the archives and non-current records of UNICEF offices away from Headquarters. In the event of the closure of an office, its archives and records shall be transferred to UNICEF Headquarters in accordance with procedures to be laid down after mutual consultation between the office and the Records Management Unit.

V. Explanation of terms

12. For the purpose of this instruction the following explanation of terms apply:

(a) records are all documentary materials i.e., correspondence, memoranda, cables, completed forms, reports, publications, documents, films, photographs, maps, sound recordings and machine-readable records regardless of physical type received or originated by UNICEF and staff, excluding "official United Nations documents" (for UNICEF, "official documents" generally refers to printed material covered by the "E/ICEF" and related series)

(b) non-records include library and exhibit material made or acquired and preserved solely for reference and exhibition purposes; extra copies of records retained solely for convenience or reference; stocks of publication, documents, reports, etc.

(c) vital records are those for which special security arrangements must be provided. In the event that a natural (fire, flood, etc.) or man-made disaster (sabotage, theft, accident) should destroy or seriously damage UNICEF premises, the vital records are those necessary to:

(i) insure the essential functions of UNICEF
- all records that would be needed to recreate the financial position at the time of the disaster
- all records required by laws or agreements to which UNICEF may be subject.

(ii) secure the interest of staff members;

(iii) fulfil obligations to countries, projects and other outside interests; and

(iv) regenerate information without which the organization cannot function.

(d) non-current records are those which are no longer needed for daily use in the transaction of official business but which should be preserved on a temporary basis because of administrative or legal consideration; the term

(e) archives applies to those records to be permanently preserved for their administrative, legal, historical or informational value;

(f) an archive group is a body of organizationally related records established on the basis of their origin;

(g) disposition is the action taken with regard to non-current records following their appraisal: including transfer to a temporary storage area (Records Centre), transfer to the Archives, reproduction on microforms or other media of storage and disposal;

(h) disposal is the act of the destruction of records by appropriate methods;

(i) private papers of UNICEF staff members are those that have no connection with their official work for UNICEF, but which have been filed in the office by a member of the staff. They may also include duplicate copies of official documents related to or reflective of personal performance, but not subject to restrictions.

International Monetary Fund

Articles of Agreement,
Art. IX, Sec. 4-8

Section 4. *Immunity from other action*

Property and assets of the Fund, wherever located and by whomsoever held, shall be immune from search, requisition, confiscation, expropriation, or any other form of seizure by executive or legislative action.

Section 5. *Immunity of archives*

The archives of the Fund shall be inviolable.

Section 6. *Freedom of assets from restrictions*

To the extent necessary to carry out the activities provided for in this Agreement, all property and assets of the Fund shall be free from restrictions, regulations, controls, and moratoria of any nature.

Section 7. *Privilege for communications*

The official communications of the Fund shall be accorded by members the same treatment as the official communications of other members.

Section 8. *Immunities and privileges of officers and employees*

All Governors, Executive Directors, Alternates, members of committees, representatives appointed under Article XII, Section 3(*j*), advisors of any of the foregoing persons, officers, and employees of the Fund:

(i) shall be immune from legal process with respect to acts performed by them in their official capacity except when the Fund waives this immunity;

(ii) not being local nationals, shall be granted the same immunities from immigration restrictions, alien registration requirements, and national service obligations and the same facilities as

INTERNATIONAL MONETARY FUND ADMINISTRATIVE MANUAL	General Administrative Order No. 26, Rev. 1	
	Effective Date: November 1, 1969	Page 1 of 5

Subject: RECORDS

Section 1. Purpose

.01 The purpose of this Order is to set forth the policies and procedures governing the maintenance and security of the records of the International Monetary Fund.

Section 2. Definition and Status of Records

.01 Records of the International Monetary Fund consist of all written or duplicated papers, letters, documents, forms, charts, computer tapes, photographs and sound recordings, and other material of record character, in whatever form and wherever located, that are produced, received or otherwise accumulated by the staff and retained as evidence of the organization, functions, policies, operations, decisions, procedures or other activities of the Fund or because of the informational content of the data contained therein.

.02 Records so accumulated are the Fund's property and cannot be removed from its custody or be disposed of in any manner or destroyed without the approval of the Secretary, acting under the direction of the Managing Director or the Deputy Managing Director.

Section 3. Preservation and Safekeeping of Records

.01 The Central Files of the Records Division shall be the repository of the permanent records of the Fund arranged by subject. Accordingly, originals, initialed carbon copies of outgoing communications, and other master copies of material preserved for the Fund's use and record shall, except as otherwise indicated below, be transferred to the Records Division as soon as action is completed. The Records Division will, on request, substitute a copy for the working files of the transmitting office. Initialed carbons of internal memoranda in which there is a community of interest or which contain important data, and copies of studies and reports prepared by the staff that are not issued in a formal series of documentation, shall be sent to the Central Files at the time they are created.

.02 Operational, statistical, and housekeeping records and certain other records primarily of interest to one Department may be designated by the Secretary for retention, while they are in active use, in the location where they are accumulated, subject to the general control of the Records Division.

.03 Such records shall be transferred to the Records Division as soon as it is determined that the particular record is not required in its original form or otherwise no longer required for active use in the decentralized location. These arrangements shall be reviewed periodically by the Records Division, in conjunction with the Head of the Department or his representative, to determine the continued need for the record in the Department.

.04 Official files of minutes, journals, documents and similar records of the Executive Board and the Board of Governors and their committees, of staff committees and working groups, and other series of documentation shall be preserved in the Records Division.

INTERNATIONAL MONETARY FUND ADMINISTRATIVE MANUAL	General Administrative Order No. 26, Rev. 1	
	Effective Date: November 1, 1969	Page 2 of 5
Subject: RECORDS		

Section 4. Information and Working Files

.01 Information and working files maintained by the staff for research and reference, consisting of duplicate copies of Fund documents and correspondence, drafts and working papers, newspaper clippings, publications and documents of other organizations and of governments, shall be retained by the staff in accordance with standards developed by the Records Division. Inactive material shall be periodically screened from these files and sent to the Records Depository for retirement or disposal if considered to have no further reference value. Published material screened from the decentralized working files shall be transmitted to the Joint Library or to the offices responsible for the maintenance of such material for disposition.

Section 5. Classification and Security of Documents and Correspondence

.01 All Fund documents and other records shall be considered restricted and not for public use except when designed for transmission to the public or specifically authorized for distribution to a particular recipient or group of recipients.

.02 There shall be two higher security classifications of Fund records as described below:

.021 *Confidential* — Records containing information, the unauthorized disclosure of which might be prejudicial to the interests of the Fund or its members.

Records, the subject of which required limitations on use for reasons of administrative privacy.

.022 *Secret* — Records containing information, the unauthorized disclosure of which would endanger the effectiveness of a program or policy, or hamper negotiations in progress, or which could be used to private advantage. Use of this classification should be held to an absolute minimum.

.03 The originating office may assign a document or other record the security classification it deems appropriate, except that the classification "Secret" shall be assigned only by the Managing Director, the Deputy Managing Director, or Heads of Departments.

.04 The classification of a file or group of physically connected documents, shall be that of the highest classified document therein. Documents separated from the file or group will be handled in accordance with their individual classification.

.05 Documents, publications, and correspondence of member countries and of other organizations which carry a security classification, and information of a classified nature supplied to the Fund by a member or non-member Government, shall be accorded the degree of security at least equivalent to that required by the originating government or organization.

.06 Generally, material requiring classification shall be assigned the least restrictive classification consistent with the proper safeguarding of the information therein. Overclassification should be avoided because it causes unnecessary delay in handling and tends to depreciate the importance of classified information in the minds of the persons handling it.

.07 "Secret" and "Confidential" material shall be so marked. Since all Fund records are considered classified, other material requires no markings. Mimeographed Fund documents prepared for general use by the staff and by the Executive Directors shall, however, bear the security masthead: "Document of International Monetary Fund and Not for Public Use."

.08 Documents, correspondence and other records shall be downgraded or declassified in specific cases by the originating office when the contents have been published or when circumstances no longer warrant their original classification. The record copy of such material should be marked with the name of the person authorizing declassification or downgrading and the date.

.09 "Secret" material may be made avilable only to those staff members specifically authorized to see it by the Managing Director, Deputy Managing Director, or Head of the appropriate Department on each occasion for use. When not in use, it shall be kept in a locked cabinet with combination lock. "Confidential" material may be made available to staff members who have need to see it by reason of their official position or who have been specifically authorized to see it by a Head of Department or office, the Managing Director or Deputy Managing Director. When not in use, the material shall be kept in a locked file cabinet.

.10 "Secret" and "Confidential" material shall be transmitted within the Fund in sealed envelopes.

.11 Documents may be transmitted outside the Fund by authority of the Executive Board or by the Managing Director, Deputy Managing Director or the Secretary, acting in consultation with the Head of the originating Department or office. The transmittal outside the Fund of any restricted or confidential data requires the prior approval of the member or members concerned. The use of such data shall be governed by the formal arrangements in effect between the Fund and the receiving organization.

Section 6. Obligations of Staff Members

.01 The responsibility of the staff with reference of official documents and information is defined in Rules N-5 and N-11.

.02 Correspondence pertaining to the Fund's work which is addressed directly to a staff member because of his capacity as an employee of the Fund is the Fund's property. Such correspondence should be routed immediately after receipt by a staff member to the Communications Division for registration and appropriate distribution. The communication will be returned to the appropriate staff member for action.

.03 Upon termination of services with the Fund, a staff member is *not* permitted to retain for future use or reference:

a. Minutes and documents of the Executive Board and its committees and of staff committees and working groups and similar documentation not specifically authorized for use outside the Fund.

b. Originals and copies of correspondence and other material required for the Fund's record, or which if found outside of context, might cause embarrassment to the Fund or its members.

c. Documents, records, or other material made available to the staff member, in his capacity as an employee of the Fund. After clearance is received from the Archivist or his representative, a staff member will be permitted to retain for personal use copies of unclassified staff research documents, material prepared by the Fund for public information, and other material which in the judgments of the Head of his Department and the Archivist is suitable for release.

Section 7. Responsibility for Records

.01 The Secretary is the custodian of the records of the Fund and shall be responsible for carrying out this Order. In connection with this responsibility, he or the Archivist, who shall act as his designated representative, is authorized:

a. To have custody of and preserve the archives of the Fund and to make available for consultation any records in his custody within the limitations of appropriate security;

b. To inspect the records in any Department by arrangement with the officers concerned;

c. To remove to his custody inactive or relatively inactive files of any office or unit, to determine the periods appropriate for the retention of the various types of records, and to arrange for their retirement and disposition in consultation with a responsible officer of the originating Department;

d. To take all precautions appropriate for the security of information and records of the Fund, including the administration of a program for the dispersal of copies of records designated as vital to the conduct of the essential functions or to the discharge of essential responsibilities of the Fund in the event of an emergency;

e. To maintain a depository for the economical storage of inactive material of continuing value and to provide reference service on such material;

f. To designate those papers and documents, or classes of papers and documents, which shall be regarded as having enduring historical, administrative, and legal value;

INTERNATIONAL MONETARY FUND ADMINISTRATIVE MANUAL	General Administrative Order No. 26, Rev. 1	
	Effective Date: November 1, 1969	Page 5 of 5

Subject: RECORDS

g. To prepare such indexes, inventories, lists, and other finding media as will afford adequate accessibility to the information in the records;

h. To advise the Departments and offices on files organization, procedures, and equipment; to install such systems as may be desirable for the effective carrying out of this Order; and to assign equipment suited to the efficient maintenance and use of the records;

i. To transmit documents outside the Fund and to exchange documents with other international organizations, in accordance with established authority.

Section 8. Internal Records Procedures

.01 The Secretary of the Fund shall issue such procedural directives as he deems necessary or useful to carry out the policies described in this Order.

Section 9. Relationship to Other Administrative Orders

.01 This Order supersedes General Administrative Order No. 26, July 19, 1955.

Section 10. Effective Date

.01 The effective date of this Order is November 1, 1969.

Frank A. Southard, Jr.
Deputy Managing Director

RULES FOR CONSULTING THE LEAGUE OF NATIONS ARCHIVES
Approved by the Secretary General of the United Nations
26 December 1969: *

"General conditions of access

1. The archives of the League of Nations, with the exception of the categories of material defined in paragraph 3 below, shall be open for consultation in situ from the beginning of the calendar year following the date on which the most recent item in the file concerned has attained forty years.

Exemptions

2. The Director-General of the United Nations Office at Geneva may grant exemptions from the rule stated in paragraph 1 in favour of researchers proving a legitimate interest in material of more recent date. The Director-General may, however, refuse applicants access to documents which are unmistakably still of a confidential or secret nature. The beneficiary may be required to undertake to submit the manuscript of his work to the Director-General before publication.

Continued general inaccessibility of:

3. The following items shall remain closed for a period of sixty years:

Documents of States

(a) Files containing internal documents of national administrations unofficially communicated at the time to League of Nations officials or commissioners by Governments whose archives are not open to researchers for the dates in question;

Documents which might endanger individuals

(b) Files containing documents which, if divulged, might injure the repute, affect the privacy or endanger the safety of individuals;

Personal files

(c) Personal files of officials or agents of the League of Nations.

Reproduction & publication

4. The copying, reproduction and publication of documents to which access is given shall be subject to the following principles:

Copyright

(a) Researchers shall be warned that the United Nations is not in a position to release them from any obligations in respect of copyright held by persons whose works may be found in the archives;

Whole archive groups

(b) The reproduction or publication of large bodies of files (whole archive groups or large series therein) shall not be permitted;

(c) The United Nations services shall not be obliged to carry out the actual work of reproduction, even against payment.

5. The Director-General of the United Nations Office at Geneva shall be responsible for the implementation of this decision, particularly with the regard to the determination of reserved files, the practical methods of providing access and the granting of the exemption for which provision is made in paragraph 2. He shall report annually to the Secretary-General on the operation of these rules, and shall report on each occasion when important exemptions are granted pursuant to paragraph 2."

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* SOUID page 494-495

RULES GOVERNING ACCESS TO WHO ARCHIVES

1. Definition

The archives of the World Health Organization shall consist primarily of documents and correspondence of various kinds, received or produced by the Organization over twenty years ago in the course of carrying out its functions, and which have been preserved in whatsoever form for documentary and historical purposes. External material, whether public or private, relating to the activities of the Organization may be added to the archives; such material shall also be subject to these rules.

2. General time limit

WHO archives are inviolable. However, as a general rule, and subject to the relaxing or limiting provisions of paragraphs 3 and 5 below, they may be freely consulted in situ by persons from outside the Organization after a period of forty years, measured from the date of the individual document or, in the case of a file, from the date of the most recent document.

3. Reduced time limit

Archival material of more recent date containing no component still considered to be confidential may be consulted by the public. The Organization alone shall be competent to decide what is confidential.

4. Exemptions

If he is satisfied that the circumstances so warrant, the Director-General may grant exemptions from paragraphs 2 or 3 above and may make the application of the said exemptions subject to certain conditions.

5. Extended time limit

Files containing information which, if disclosed, might prejudice the reputation, personal safety or privacy of individuals, shall remain closed for a period of sixty years.

6. Authority to copy

The transcription, copying and publication of those documents to which the public has access shall be subject to the following conditions:

6.1 Rights of third parties

Users of the archives are warned that WHO is unable to release them from any obligations that may apply in respect of copyrights or other rights vested in persons whose works may be contained in WHO archives, or in their beneficiaries.

6.2 Complete collections

The reproduction or publication of large series of files (complete collections or major subdivisions of collections) is not permissible.

6.3 Copying facilities

Where reproduction is authorized, the Organization is under no obligation to make its copying facilities available, even against payment.

APPENDIX B

Resolutions, recommendations and wishes of International Congress on Archives

1. Extraordinary Congress, held in Washington in 1966
2. 6th Congress, held in Madrid in 1968
3. 8th Congress, held in Washington in 1976
4. 9th Congress, held in London in 1980

RESOLUTIONS, RECOMMENDATIONS AND WISHES OF THE EXTRAORDINARY INTERNATIONAL ARCHIVES CONGRESS

HELD IN WASHINGTON, MAY 9-13, 1966

1. The Extraordinary Congress reaffirms that one of the principal objectives of the International Council on Archives is "to facilitate more frequent use of archives and the effective and impartial study of the documents they contain by making their content more widely known and by encouraging greater freedom of access", as stated in Article 2 of the ICA Constitution.

2. The Congress expresses the wish that researchers, irrespective of nationality, should everywhere be accorded equal and easy facilities for access to archives, and that every means should be employed to make this principle effective. It requests that the Executive Committee of the ICA investigate the possibility of creating an International Reader's Card to serve as a recommendation of the bearer to foreign archival institutions, and that it submit a report to this effect at the next session of the General Assembly that will take place in 1968.

3. In view of the needs of contemporary historical, economic and social science, the Congress expresses the wish that responsible archival authorities strive to obtain substantial liberalization of the rules of access by reducing, if possible, the restriction periods in effect, and, in addition, by opening certain categories of documents to research use before expiration of the prescribed term.

4. Arrangement and the preparation of finding aids being among the principal functions of archivists, the Congress expresses the wish that this work be accelerated and that comprehensive guides to documentary sources be published. It desires especially that archival depositories be provided with qualified personnel in sufficient numbers to carry out as rapidly as possible the work required to permit access to the increasingly voluminous archives of contemporary times.

5. Inasmuch as current concepts in the copyright field may have an influence on research in archives, the Congress desires that the International Round Table Conference put this problem on the agenda of its next meeting.

6. The Congress desires, in order to promote the publication of documentary sources in each country, that the ICA Executive Committee establish a working committee to investigate ways and means of adapting the most economical and rapid methods to the publication of archival sources ; it desires that this committee concern itself particularly with a study of the use of microfilm as a means of publication.

7. The Congress expresses the wish that the Archives Committee of the Pan American Institute of Geography and History (PIGH) and the Inter-American Technical Council on Archives (ITCA) be invited to make an inquiry, by means of questionnaires, into the conditions under which historical documents are published in the countries of Latin America, as a first step toward the formulation of national publication programs. The questionnaires would be submitted to the National Archives of each Latin American country. The Congress also expresses the wish that the International Council on Archives, the Archives Committee of

Source: Archivum XVI, Paris, 1969.

RESOLUTIONS, RECOMMENDATIONS AND WISHES OF THE VI[th] INTERNATIONAL CONGRESS ON ARCHIVES

HELD IN MADRID, SEPTEMBER 3-7, 1968

I. — Session on liberalization of access to archives

1. *Resolutions based upon the report of the Working Group on Liberalization*

a) *In the area of restrictions and delays in access.*

1. The Congress recommends that the archival administrations of the various countries undertake a study in depth of the regulations controlling access to documents and propose to the competent authorities the removal of all unjustified restrictions with the object of adapting the system of archival access to the needs of scholarly research.

To this end the Congress recommends the following relaxations of the rules of access :

a) that, in countries where date-limit restrictions are employed, the general closed period not exceed 30 years between origin and access, with defined reservations when necessary ;

b) that longer closed periods in specific cases should be imposed only to meet realistic needs and, in no case, should exceed 80 years ;

c) that, to the maximum extent possible, specified documentary categories, or "fonds", or series be made freely available for consultation prior to the expiration of the general closed period ;

d) that provision be made in individual cases for the granting of exceptions to the formal restrictions ;

that, when the decision is not within their competence, the Directorate of Archives or depository head concerned be called upon to give their advice concerning the requested exceptions before transmitting them to the decision-making authority ;

and that machinery for appeal from denial of access be envisaged.

2. The Congress recommends, with respect to papers of private origin deposited at archival institutions, that access in general be governed by the same regulations as those for obtaining public papers, with longer delays applied only to documents of a strictly confidential nature ; and that, in cases where the donor reserves to himself and his heir during their life-times the right to authorize access, that the custodial archives should thereafter succeed to this right in order to prevent possible future immobilization of the papers.

3. The Congress recommends that the principle of equality of treatment between national and foreign searchers be recognized and applied everywhere. It condemns any form of discrimination against foreign scholars, and strongly urges that insistence on formal reciprocity between countries in granting access to each other's nationals be abandoned on the ground that this practice may discriminate against the individual scholar and is, in any case, impossible to apply fairly and systematically.

213

Source: Archivum XVIII, Paris, 1970.

considering the administrative and financial advantages of setting-up intermediate record storage systems.
The Congress recommends that archival administrations pay particular attention to the practices of records production and management within the public services.

Private Archives

8. The Congress recommends that ICA integrate the questions of census, conservation and use of private archives into its study program.

Legal Value of Microforms

9. The Congress recommends that, in order to overcome legal obstacles to the further development of archival reprography, a draft international standard recognizing the legal validity of microforms in place of original documents should be prepared by governmental authorities, taking into consideration the analysis and recommendation of the recent UNESCO ICA study on this subject (COM 75 WS 30).

Oral Traditions

10. The Congress recommends that ICA encourage archival institutions to cooperate in the collection and preservation of oral traditions.

Access to Archives

11. The Congress
confirms the recommendations made by the 6th International Congress on Archives, Madrid 1968, concerning liberalization of access to archives for scholarly purposes,
notes with satisfaction, the progress made over the previous years,
and recommends to the authorities responsible, that their efforts be continued in order to make the maximum number of archival documents accessible to research.

12. Bearing in mind that international concordance in the modes of access to archives is essential to promote liberalization of this access throughout the world,
The Congress recommends that national archival administrations harmonize their access rules with those of other countries in order that scholars enjoying free access to documents related to a particular study in one country, may obtain the same facilities to continue research on the complementary documentation conserved in another country.

13. Bearing in mind the considerable historical interest attached to the archives of ecclesiastical and religious institutions
The Congress urges these institutions to facilitate scholarly access to the archives they conserve and also to promote the drafting of inventories and catalogues in order to allow full use of these archives.

Special Motions

14. Bearing in mind the clauses of the final declaration of the Helsinki Conference on security and cooperation in Europe, the Congress recommends more active use of archival material within the limits of the rules in existence in the different countries with regard to archives, in order to reinforce peace, mutual understanding between peoples and spiritual enrichment of mankind.

15. The Congress extends its sincere thanks and appreciation to the Archivist of the United States and personnel of the U.S. National Archives, to the President and Members of the Society of American Archivists, to the Director of the Congress and to the Organizing Committee, for the warm welcome and excellent working conditions it has been able to enjoy.

Source: Archivum XXVI, München, 1979.

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RECOMMENDATIONS OF THE 9th INTERNATIONAL CONGRESS ON ARCHIVES

Access to archives

1. In view of new orientations in historical research and the increasing demand thus created for access to detailed records concerning individuals, bearing in mind the necessity of preventing uncontrolled access to information relating to individuals, the Congress expresses the wish that the statutory and regulatory provisions of each country are such as to ensure the safekeeping in all fields of the documentary basis of research in social sciences and in particular in history.

2. Considering the rapid evolution of the study of contemporary history generating new types of research, bearing in mind the need of adapting finding aids and reference services to these new methods, the Congress recommends to archival institutions that they take consideration of these requirements and urges them to develop the necessary means of responding to them, especially in the field of the professional training of archivists.

3. The Congress recommends that measures be taken by archive administrations to ensure the preservation of and access to documents of scientific and technical importance and the provision of appropriate finding aids to them.

Archives and the general public

4. Considering the growing interest in archives shown by the general non-specialist public, conscious of the educational and cultural role which archives should play in society, the Congress urges all archive institutions to pay particular regard to the aspirations of the general public and to take all possible steps to bring to that public's attention the possibilities offered by archives for research, in doing so to make use of the most effective means offered by modern technology.

5. Conscious of the necessity for users of archives to be more widely informed in order that they may the better appreciate the services they may expect, the Congress recommends that the various ICA bodies take all steps for promoting the education of users.

6. The congress recommends that ICA bodies take all steps to help archival administrations of all countries to make known the diversity of their task and their role in the preservation of the national heritage.

Archival research programme

7. Desirous of enhancing the status of the archival profession, the Congress recommends that the Executive Committee prepare and develop a comprehensive programme to establish a more scientific basis for professional archival knowledge and report to the next Congress.

8. The Congress notes with satisfaction the development of the publications programme of ICA, extends its thanks to institutions and individuals who are actively engaged in the

Source: Archivum XXIX, München, 1982.

APPENDIX C

United Nations Staff Who Answered Questionnaires

Food and Agriculture Organization (FAO)
P. H. Coulter, Chief of Records and Archives Unit

General Agreement on Tariffs and Trade (GATT)
David Woods, Head of Information

Inter-governmental Maritime Consultative Organization (IMCO)
D. G. Aitken, Director

International Monetary Fund (IMF)
Gertrude Long, Archivist

Pan American Health Organization (PAHO)
César A. Portocarrero, Chief, Department of Conferences and General Services

United Nations Secretariat (UN)
Alf Erlandsson, Chief of Archives Section

United Nations Development Programme (UNDP)
William E. Dickins, Chief, Communications and Records Services Section

Office of the United Nations Disaster Relief Co-ordinator (UNDRO)
E. J. Cieniewicz

United Nations Economic Commission for Africa (UNECA)
Albert Mensah, Officer-in-charge, Administration and Conference Services Division

United Nations Educational, Scientific and Cultural Organization (UNESCO)
Markku Järvinen, Chief, Archives Section

Office of the United Nations High Commissioner for Refugees (UNHCR)
E. Pinto de Magalhaes, Chief of Communications and Records Management Services

United Nations Children's Fund (UNICEF)
Adhirata Keefe

United Nations Industrial Development Organization (UNIDO)
M. Jancic, Chief, Non-governmental Section

United Nations Office at Geneva (UNOG)
M. Cortiello, Chief, Records and Mailing Section

World Health Organization (WHO)
N. Mani, Chief, Conference and Office Services

APPENDIX D

Archival Terminology

ACCESS:

- The avilability of records/archives for consultation as a result of both legal auhorization and the existing of finding aids.

ACCESS DATE:

- The date at which records/archives become available for consultation by the general public. Usually determined by the lapse of a specified number of years.

ACCESSIBILITY:

- See access.

APPRAISAL:

- A basic archival function of determing the eventual disposal of records based upon their archival value. Also referred to as evaluation, review, selection or selective retention.

ARCHIVES:

1. Non-current records preserved, with or without selection, by those responsible of their creation or by their successors in function for their own use or by an appropriate archives because of their archival value.
2. An institution responsible for the acquisition, preservation and communication of archives. Also called archival agency (US), archive(s) service, record office.

CLEARANCE:

- An administrative determination that an individual may have access to restricted records or information fo a specified category.

CLOSED FILE:

- A file with restrictions as to access as distinct from open file.

COMMUNICATION:

- A basic archival function of making available and promoting the wider use of records/archives by the preparation and publication of finding aids, the provision of reference service, the organization of exhibitions, documentary publications, lectures and other cultural and educational activities.

CONFIDENTIALITY:

- The quality or property of privacy or secrecy attaching to certain information and/or records thereby limiting access.

CURRENT RECORDS:

- Records regularly used for the conduct of the current business of an agency, institution or organization and which, therefore, continue to be maintained in their place of origin.

DECLASSIFICATION:

- The removal of all security classification restrictions on information or records.

DOCUMENT:

1. A combination of a medium and the information recorded on or in it, which may be used as evidence or for consultation.
2. A single archival, record or manuscript item.

PRIVACY:

- The right to be secure from anuthorized disclosure of information contained in records/archives relating to personal and private matters.

PUBLIC RECORDS/ARCHIVES:

- Records/archives legally defined as public. Also used to designate records/archives open to public inspection.

RECORDS:

- Recorded information <document(s)> regardless of form or medium created, received and maintained by an agency, institution, organization or individual in pursuance of its legal obligations or in transaction of business.

RECORDS MANAGEMENT:

- That area of the general administrative management concerned with achieving economy and efficiency in the creation, maintenance, use and disposal of records, i.e. during their entire life cycle.

REFERENCE SERVICE:

- The activities involved in providing information about or from records/archives making holdings available for use in search rooms and providing copies or reproductios.

REMOVED ARCHIVES:

- Archives that have been removed from official custody or from the country in which they were originally acumulated.

REPLEVIN:

- The recovery of records/archives by an agency, institution, organization or individual claiming ownership thereof.

RESTRICTED ACCESS:

- A limitation on access to records/archives or to individual documents or to information of a specified type, imposed by general or specific regulations determining access date or general exclusions from access.

SCREENING:

- The examination of records/archives to determine the presence of documents or information subject to restricted access. Also called segregation.

SECURITY CLASSIFICATION:

- The restriction on access to or use of records/archives or information therein imposed by a government in the interests of national security. The records or information concerned are referred to as classified records or classified information.

SEMI-CURRENT RECORDS:

- Records required so infrequently in the conduct of current business that they should be transferred from offices to a record centre pending their ultimate disposal.

Source:

Evans, Frank B. et al. Dictionary of archival terminology: English and French; with equivalents in Dutch, German, Italian, Russian and Spanish. Comp. by Frank B. Evans, Francois-J. Himly and Peter Walne. (ICA Handbooks, Vol. 3), Munchen, 1984.

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Copies of the above studies and reports may be obtained without charge, to the extent that they are still in print, by writing to:

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